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ABSTRACT

This module, one in a series of competency-based administrator instructional packages, focuses on a specific competency that vocational education administrators need to be successful in the area of personnel management. The purpose of the module is to help administrators develop skills for training staff about procedures, maintaining personnel records, preventing or swiftly handling grievances, administering fringe benefits, and monitoring staff absences. An introduction provides terminal and enabling objectives, a list of resources needed, and a glossary of selected terms. The main portion of the module includes four sequential learning experiences. Overviews, which precede each learning experience, contain the objective for each experience and a brief description of what the learning experience involves. Each learning experience consists of a number of activities that may include information sheets, case studies, samples, checklists, and self-checks. Optional activities are provided. The final learning experience also provides an assessment form for administrator performance evaluation by a resource person. (YLB)

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ED226246

Manage School Personnel Affairs

MODULE
LT-D-4

Module LT-D-4 of Category D—
Personnel Management

COMPETENCY-BASED VOCATIONAL EDUCATION ADMINISTRATOR MODULE SERIES

Consortium for the Development of
Professional Materials for Vocational Education

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The National Center for Research in Vocational Education
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- Installing educational programs and products.
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Direction is given by a representative from each of the states, provinces and territories. AAVIM also works closely with teacher organizations, government agencies and industry.

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FOREWORD

The need for competent administrators of vocational education has long been recognized. The rapid expansion of vocational education programs and increased student enrollments have resulted in a need for increasing numbers of vocational administrators at both the secondary and postsecondary levels. Preservice and inservice administrators need to be well prepared for the complex and unique skills required to successfully direct vocational programs.

The effective training of local administrators has been hampered by the limited knowledge of the competencies needed by local administrators and by the limited availability of competency-based materials specifically designed for the preparation of vocational administrators. In response to this pressing need, the Occupational and Adult Education Branch of the U.S. Office of Education, under provisions of part C--Research of the Vocational Education Amendments of 1968, funded the National Center for a scope of work entitled "Development of Competency-Based Instructional Materials for Local Administrators of Vocational Education" during the period 1975-77. That project had two major objectives:

1. To conduct research to identify and nationally verify the competencies considered important to local administrators of vocational education.
2. To develop and field test a series of prototypic competency-based instructional packages and a user's guide. One hundred sixty-six (166) high priority competencies were identified and six prototypic modules and a user's guide were developed, field tested, and revised.

Although six modules had been developed, many more were needed to have competency-based materials that would address all the important competencies that had been identified and verified. In September 1978 several states joined with the National Center for Research in Vocational Education to form the Consortium for the Development of Professional Materials for Vocational Education. Those states were Illinois, Ohio, North Carolina, New York, and Pennsylvania. The first five states were joined by Florida and Texas later in the first year. The first objective of the Consortium was to develop and field test additional competency-based administrator modules of which this is one.

Several persons contributed to the successful development and field testing of this module on managing school personnel affairs. David R. Greer, Graduate Research Associate, assumed the major responsibility for reviewing the literature and for preparing the actual manuscript. Recognition also goes to the two consultants who helped conceptualize the module and prepared draft materials for the manuscript: Robert Frum, Superintendent, Columbiana County Joint Vocational School District, Lisbon, Ohio; and Harry Miller, Associate Dean, School of Technical Careers, Southern Illinois University, Carbondale, Illinois.

Acknowledgement is given to the official reviewers who provided critiques of the module and suggestions for its improvement: Joe P. Bail, Chairman, Department of Education, Cornell University, Ithaca, New York; Russ Jordan, Administrative Assistant, Columbus Technical Institute, Columbus, Ohio; and Rex Toothman, Educational Management Consultant, Lakeland, Florida.

Credit goes to Carol J. Spencer, Graduate Research Associate, and Lois G. Harrington, Program Associate, who helped to refine the module for publication after field testing; and to Robert E. Norton, Consortium Program Director, for providing program leadership and content reviews. Thanks go to Ferman B. Moody, Associate Director for Personnel Development, for his administrative assistance.

Appreciation is also extended to Calvin Cotrell, James Haire, George Kosbab, Helen Lipscomb, Aaron J. Miller, Dominic Mohamed, Robert Mullen, James Parker, Dale Post, Wayne Ramp, and Kenneth Swatt for their service as state representatives, state department contacts, and field-test coordinators; and to the other teacher educators and local administrators of vocational education who used the modules and provided valuable feedback and suggestions for their improvement. Last, but certainly not least, thanks and credit are due Deborah Linehan, Consortium Program Secretary, for her patience and expert skill in processing the many words necessary to make this module a quality document.

Robert E. Taylor
Executive Director
The National Center for Research
in Vocational Education

INTRODUCTION

An organization is only as good as the people that belong to it. This axiom of organizational theory is no less true when applied to vocational education institutions. In the process of ensuring that a school is composed of the highest quality of personnel available, its administration must attend to several steps of a personnel cycle, including recruiting and selection, orientation, assignment, promotion or reassignment, evaluation, development, and ultimately, separation, whether through resignation, dismissal, or retirement.

A significant responsibility for the wise utilization of a staff member rests with his/her immediate supervisor. Many of these matters are covered by other modules in this series, namely Supervise Vocational Education Personnel, Appraise the Personnel Development Needs of Vocational Education Teachers, and Evaluate Staff Performance. The initial steps of the personnel selection process are dealt with in Select School Personnel.

What remains to be covered by this module, then, are those functions that are often delegated to a central office staff that is not always in personal, day-to-day contact with the faculty and staff members, but has an important role nevertheless. Specifically, the matters of developing and informing the staff about procedures, maintaining personnel records, preventing or swiftly handling grievances, administering fringe benefits, and monitoring staff absences are the content of this module.

By successfully completing this module, the administrator will be able to operate or supervise those behind-the-scenes aspects of an institutional personnel operation that will enhance the maintenance of morale and in the most effective utilization of the abilities and talents of the staff.

Module Structure and Use

This module contains an introduction and four sequential learning experiences. Overviews, which precede each learning experience, contain the objectives for each experience and a brief description of what the learning experience involves.

Objectives

Terminal Objective: While working in an actual administrative situation, manage school personnel affairs. Your performance will be assessed by your resource person, using the "Administrator Performance Assessment Form," pp. 87-88. (Learning Experience IV)

Enabling Objectives:

1. After completing the required reading, critique an administrator's performance in developing personnel procedures, and correct a given personnel handbook, providing additional or revised items as needed. (Learning Experience I)
2. After completing the required reading, critique an administrator's performance in handling a personnel grievance. (Learning Experience II)
3. After completing the required reading, critique an administrator's performance in administering staff benefits and leave and absence policies. (Learning Experience III)

Resources

A list of the outside resources that supplement those contained within the module follows. Check with your resource person (1) to determine the availability and the location of these resources, (2) to locate additional references specific to your situation, and (3) to get assistance in setting up activities with peers or observations of skilled administrators.

Learning Experience I

Optional

- SAMPLES OF PERSONNEL HANDBOOKS used in educational institutions that you can review and compare.
- SAMPLES OF RESOURCE FORMS AND FILE CONTENTS LISTS used in educational institutions that you can review and compare.

Learning Experience II

Optional

- A GRIEVANCE HEARING that you may attend (if open to the public).
- A CHAIRPERSON OF A GRIEVANCE COMMITTEE whom you can interview.
- THE FILMS about arbitration: "The Drama Coach Grievance," "Dispute Settlement in Public Employment--The Lost Fringe Benefit," and "Trouble in the Firehouse," available from the Publications Department, American Arbitration Association, 140 West 51st Street, New York, NY 10020.
- A FILM PROJECTOR for viewing a filmed presentation.

Learning Experience III

Optional

- A CONSULTANT SPECIALIZING IN BENEFITS PROGRAMS whom you can interview.
- EXAMPLES OF BROCHURES OR OTHER INFORMATION ABOUT BENEFITS PROGRAMS provided by educational institutions, which you can review and compare.

Learning Experience IV

Required

- AN ACTUAL ADMINISTRATIVE SITUATION in which, as part of your duties, you can manage school personnel affairs.
- A RESOURCE PERSON to assess your competency in managing school personnel affairs.

Selected Terms

Administrator--refers to a member of the secondary or postsecondary administrative team. This generic term, except where otherwise specified, refers to the community college president, vice-president, dean, or director; or to the secondary school principal, director, or superintendent.

Board--refers to the secondary or postsecondary educational governing body. Except where otherwise specified, the term "board" is used to refer to a board of education and/or a board of trustees.

Institution--refers to a secondary or postsecondary educational agency. Except where otherwise specified, this generic term is used to refer synonymously to secondary schools, secondary vocational schools, area vocational schools, community colleges, postsecondary vocational and technical schools, and trade schools.

Resource Person--refers to the professional educator who is directly responsible for guiding and helping you plan and carry out your professional development program.

Teacher/Instructor--these terms are used interchangeably to refer to the person who is teaching or instructing students in a secondary or postsecondary educational institution.

User's Guide

For information that is common to all modules, such as procedures for module use, organization of modules, and definitions of terms, you should refer to the following supporting document:

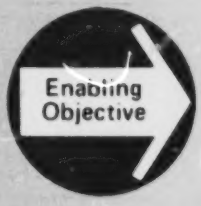
> Guide to Using Competency-Based Vocational Education Administrator Materials. Columbus, OH: The Center for Vocational Education, The Ohio State University, 1977.

This module addresses task statement numbers 57, 58, 64-67, 69, 70, 72-[illegible] 77, 79, 80, and 101 from Robert E. Norton et al., The Identification and Nat[illegible] Verification of Competencies Important to Secondary and Post-Secondary Administrators of Vocational Education (Columbus, OH: The Center for Vocational Education, The Ohio State University, 1977). The 166 task statements in this document, which were verified as important, form the research base for the National Center's competency-based administrator module development.

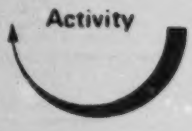
NOTES

Learning Experience I

OVERVIEW



After completing the required reading, critique an administrator's performance in developing personnel procedures, and correct a given personnel handbook, providing additional or revised items as needed.



You will be reading the information sheet, "Personnel Policy and Procedures, Handbooks, and Records," pp. 9-23.

You may wish to collect samples of handbooks from other educational institutions in order to compare their organization and contents, and to identify useful features or provisions.

You may wish to examine some of the personnel forms and other contents of personnel files from other educational institutions, in order to compare their format and use.

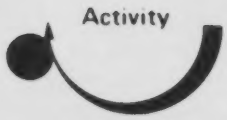
You will be reading the "Case Study," pp. 25-26, and critiquing the performance of the administrator described in developing personnel procedures.

continued

You will be evaluating your competency in critiquing the administrator's performance in developing personnel policies by comparing your completed critique with the "Model Critique," p. 27.

You will be reading the "Case Situation," pp. 29-30, analyzing a given portion of a personnel handbook, and providing additional or revised items for that handbook.

You will be evaluating your competency in correcting the hypothetical handbook by comparing your changes with the "Model Corrections," p. 31.



For information about how to develop personnel policy and procedures, prepare a personnel handbook, and organize a personnel records system, read the following information sheet.

PERSONNEL POLICY AND PROCEDURES, HANDBOOKS, AND RECORDS

Because personnel operations are governed at times by both policy and procedure, it will be worthwhile to carefully differentiate between these two concepts at the outset.

A policy is a general statement made by the institution's board that sets forth the board's wishes or beliefs about the purpose, role, and values to be served by various aspects of the institution's program, administration, or personnel. Policies indicate what is wanted and why, and perhaps to what degree. As such, they give a framework or direction to the administrators, staff, and faculty.

A procedure is a specific strategy or method by which the administration seeks to carry out the wishes that are explicit or implicit in board policy. Thus, procedures explain the how of personnel operations in more detailed terms: on what form, by what deadline, through which channels, meeting what criteria, and so on. Procedures are, of course, open to review by the board in the event that it is felt that they are not in accord with the letter or the spirit of a given policy. However, procedures arise from within the administration, which also has the right to revise them, and the responsibility to assure that they are clear to and understood by those affected.

Typical personnel policies adopted by boards of schools or colleges deal with nondiscriminatory hiring practices, privacy of employment records, recourse available to persons having a grievance, or the intent to provide a given level of compensation and benefits.

Administrative procedures corresponding to these policies might include (1) a description of those places where hiring announcements are to be posted and for how long, (2) a listing of those persons having access to employee records and which parts of the records they may review, (3) a chart of deadlines and channels for a grievance resolution process, and (4) the announcement of an enrollment period of dental health insurance for employees and their dependents, accompanied by the necessary forms.

Policy Development Methods

Now that you are aware of the basic contents of a personnel policy, you should turn your attention to the process by which such a policy can be developed. This approach will apply equally well to the process of drafting specific procedures, except of course that the step of obtaining board approval is

not necessary. In fact, it can serve you adequately whenever you develop a policy and procedure document for any administrative area, not just personnel.

Existing practices. A good place to begin is with your institution's current set of practices. In effect, you should collect some data about present methods used, or those that have established clear precedent. This type of research obviously can be helpful to you if you have recently joined the institution, or have just received a new assignment that includes personnel responsibility. However, it is equally useful even if you have been involved with these activities for a long time. Often, in these cases, people's methods have gradually changed. Or, situations have changed, but new methods have not yet been developed in response. Or, some persons would like to improve their ways of performing some tasks, but are afraid to proceed without authorization. By asking new questions, not taking anything for granted, and seeking fresh ideas, you can use this step of policy and procedure development as a stimulus for initiating necessary change.

Among the questions you should ask yourself and others as you study current practices are the following:

- What is your role in the personnel system?
- What tasks do you perform within this role?
- With whom must you interact to accomplish these tasks?
- Where do you get the information you need to function effectively?
- Why do you use the particular methods you do?
- Are changes needed? Can they be accomplished in an educationally sound manner or in the face of certain political conditions?

Existing rules. Once you have developed a complete and accurate picture of how things are done in reality, you should next search available institutional documents to see how things are supposed to be done. That is, you should study the minutes of board meetings, faculty/administrative rules, handbooks, operating manuals, and so on. This process will probably reveal some areas in which actual practices depart from policy, policy statements do not cover some activities, or the policy documents have fallen out of date.

Next, you should expand your search, looking beyond the boundaries of the institution for other sources of official policy. State law and the regulations published by your state department of education are good places to begin. If your institution has received some type of federal aid (grant or contract), you should check for rules associated with that program, or look for general provisions in the Federal Register. In addition, you might want to examine the guidelines of a personnel managers' association or other business/professional societies.

"Idea shopping." After you have this broad perspective of what is and what ought to be, you could benefit from informal comparisons with colleagues in other organizations to discover how they carry out personnel activities.

Although you would be most interested in the functions of other educational institutions, you might also benefit from learning about practices in such other firms as service businesses, small industries, hospitals, social service agencies, or certain nonprofit organizations. Developing friendships with other personnel administrators through membership in service clubs, professional associations, or civic groups is one way to promote the contacts that make this type of information-sharing possible. Another way is by attending conferences or career development workshops in this area, whether sponsored by a professional association or a government agency.

Employee Participation. It is important that you work, from the very beginning, with representatives of those personnel categories--instructional, professional, administrative, clerical, custodial, technical, etc.--affected by new or revised procedures. Perhaps your institution already has established a standing committee for personnel, or one is contained within the structure of a faculty senate, or is part of the organization of a teachers association or the locals of various employee unions.

For such a committee(s) to be fully useful, it should be comprehensive (representing all employment categories as well as major administrative units), comprised of active, interested members, and provided with dynamic leadership. It is especially important that the assistant superintendent for personnel, the vice-president for administration, or other administrator in charge of personnel matters be included as a key member, or chairperson, of this committee.

The involvement of all these persons will provide channels for the infusion of new ideas, help secure feedback from individuals likely to be affected, and facilitate making decisions among alternative proposals having different sets of advantages and limitations.

Drafting the policy. Finally, it is time to sit down and draw all these ideas together into a comprehensive, accurate, but flexible document. This task will be easier if you continue to include people from any committee that was involved. Their presence will ensure that the language selected applies to all the personnel categories affected by each procedure. In addition this approach will give them a feeling of ownership in the process, thereby facilitating the implementation process that comes later. You should also employ legal assistance at this point--if you haven't already done so when you were researching state and federal laws. An attorney can help ensure that the policy statements you draft are clear, well defined, within present statutory limitations, and enforceable.

Policy approval. Another important step of the policy development process is to secure approval of the document by the institution's governing board. If you are not the chief administrator yourself, then you will need to route your finished draft through him/her to the board; perhaps the administrator will wish to ask key staff members to give the policy a final review before the board acts on it officially.

Dissemination and evaluation. Once approved, the policy should be disseminated widely throughout the institution, with copies being distributed to all persons affected by it, and a copy being available for review by any interested person. And, of course, you need to be continuously attentive to future needs for evaluation and revision of the policies. You cannot expect them to be valid for all time. You should, in fact, reexamine the new policies a few months after they have been fully implemented (the "shakedown" or "break in" period), and then at fixed, longer intervals thereafter, e.g., every two years.

The Personnel Policy and Procedures Handbook

The last step of policy/procedure preparation--dissemination and evaluation--leads into the subject of a personnel handbook. The overall purpose of a personnel handbook is to provide administration and staff with a written, systematic guide to the prescribed standard operations and behavior expected within the work environment. A handbook can help an administrator avoid delays in decision making (or no decision), and can protect staff from the possibility of hastily made or arbitrary rulings. In addition, the handbook improves communication and decision making in three ways.

First, by clarifying and explaining policies and procedures, it is more likely that morale problems, complaints, and grievances can be avoided before they arise. The handbook enables employees to determine for themselves whom to go to for what, thus reducing the likelihood that a person's problem will be passed along or lost in the shuffle.

Second, a personnel handbook can assist in the organization's affirmative action efforts by providing documentation of employment opportunities and practices. Although the development of a personnel handbook does not in itself guarantee compliance, it does provide a public document by which all employees may determine if the organization is acting in good faith.

Finally, the handbook enables administrators to provide fair and consistent leadership by helping them know how to interpret policy effectively, clearly, and properly in order to avoid arbitrary employment practices. At the same time, it "makes public" the standards and criteria by which their decisions and actions can be judged.

Handbook contents. A general rule to start from is that all policies and procedures that affect personnel should be included in the institution's handbook. If the institution is small, or doesn't have many rules and policies, then this information might be included in a basic teachers/staff manual or handbook that includes all information of use to the employees, such as the following:

- School calendar
- Description of student services
- Dress code and code of conduct

- Schedules for classes
- Student activities and sports
- Fire and emergency procedures
- Rules on use of mail, phone, and copying services
- Maps and floor plans of the facilities
- Policies about records, grading, travel, purchasing, lesson planning, and--oh yes--personnel

On the other hand, if the institution is large or has many complex rules, it might be to its advantage to publish separate handbooks or policy/procedure guides for personnel, as well as for academic/curricular affairs, business practices, professional development, and so on. Further, if there are several subordinate units, such as departments or vocational service areas, these units should be afforded the opportunity to issue supplements to the procedures, especially if there is a great deal of peer review or participatory governance within the unit.

If there is a union contract or other negotiated agreement that parallels some of the provisions of the personnel policies and procedures (usually on such matters as seniority, holidays, pay and benefits, job descriptions), then this agreement should be published as an appendix to the handbook, and its important passages should be cross-indexed.

Internally the personnel handbook can contain many items. Sample 1 is a list of the most common subjects covered, but your institution might have some others not listed there.

Handbook organization. There are many ways in which you can arrange the contents of a handbook. The guiding principle should be to respect the convenience of the user. In most cases, this means that policies affecting related matters should be located close together. In preparing the pages, it would also be a good idea to place no more than one major rule, policy, or procedure on one page (of course, some may require several pages). Then you could rearrange pages until the optimum sequence was obtained, and finally develop a table of contents, located at the front of the manual and arranged in the same manner as the manual is.

If you desire to "codify" the rules with some system, numbers and decimals are probably better than letters, since letters might suggest some relationship to a particular word or topic--but there may be several words that could be associated with one letter. (For example, would the "A" section be for "Appointments" or "Absences"?)

Pages should, for simplicity, be numbered with the usual arabic numbers (1, 2, etc.), and these numbers shown in the table of contents.

Two additional measures can help your readers find their way through the manual. First, provide an index--a list of subjects placed at the back of

SAMPLE 1

TYPICAL CONTENTS OF PERSONNEL HANDBOOKS

Employment and Appointment

- Affirmative-action/equal-opportunity-in-employment statement
- Job vacancy posting and advertisement
- Recruiting
- Application forms
- Interview process
- Selection committees or panels
- Probationary periods
- Types of appointment: regular, special, casual, full-time, part-time

Pay and Benefits

- Job descriptions and categories
- Salary schedule
- Overtime rates
- Retirement systems
- Employees insurance: hospitalization, major medical, life, dental, etc.
- Worker's compensation
- Unemployment compensation
- Tax-deferred annuities
- Tuition assistance and reimbursement

Leave and Absences

- Sick leave
- Vacation
- Holidays
- Emergency or personal absence
- Military reserve duty
- Jury duty
- Death/bereavement leave
- Sabbaticals for professional development
- Leave without pay

Discipline

- Reprimand and warning
- Probation
- Suspension
- Dismissal
- Appeals

Grievances

- Definitions
- Due process
- Grievance steps

Evaluation and Staff Development

- Evaluation period
- Rating responsibility
- Forms and records
- Individual staff development plans

Promotion and Tenure

- Classifications and rank
- Application/nomination
- Peer review
- Administrative review
- Rights of tenure

Termination

- Resignation
- Retirement
- Nonrenewal
- Financial exigency/reductions-in-force

the manual, with entries arranged alphabetically. If several synonyms can be thought of for some policy name, then list them all (for example, absence, leave, and vacation; or sick leave and illness. Second, describe to your reader, very early in the handbook, the scheme by which the contents have been arranged.

A few other tips are worth noting. Since procedures are subject to change (as policies, circumstances, or administrators change), the structure of the handbook should be flexible enough to accommodate this. A loose-leaf format suits this purpose, but makes page control difficult. (Pages can be inserted incorrectly. Pages can be removed and lost. Out of date pages may be retained, rather than replaced by new versions.) Thus, when new or changed pages are issued, they should carry the date of their preparation or revision in a uniform, prominent place. In any case, each policy/procedure entry should be annotated by the date of its adoption, and the name or title of its drafter or approving authority. (Example: "Adopted May 13, 19-- by board"; or "Revised by direction of business officer October 25, 19--, in accordance with State Law 1356.07.")

Supplemental information measures. Regardless of how cleverly codified, how clearly written, or how scrupulously updated it is, a personnel handbook by itself cannot suffice as the sole means of informing faculty and staff of personnel policy and procedure. Obviously, it is useless if its existence is unknown; therefore, it should be distributed to new employees at one of their very first welcome or orientation sessions. At that time, its use should be encouraged, and some key sections should be summarized or emphasized.

During certain times of the year, when selected provisions of the handbook are particularly relevant (for example, absences due to snowstorms, or scheduling of vacations, or updating of income tax withholding certificates), the pertinent portions of the handbook should be reviewed with staff. This could be done in staff meetings, by memorandum (which might go so far as to quote the necessary passage) (sample 2), through bulletin board notices, or via a staff newsletter or other periodical widely read by the institution's personnel (sample 3).

The same means should be employed when a new policy or procedure has been adopted--or better yet, when a change is being first considered, the better to solicit staff comments and ideas. Once it becomes effective, the new or changed procedure should then be sent personally to all holders of the handbook, along with a memo that calls attention to its key provisions, and that clearly describes how the handbook should be updated (e.g., by loose-leaf page substitutions, footnoting, or pen-and-ink annotation). For maximum possible control, maintain a list of all persons to whom the policies were sent, require written acknowledgement of their receipt, assign serial numbers to each copy of the handbook, and place a copy in the library/learning resources center, in the central personnel office, and in an accessible room or office in each building.

Staff meetings. Since staff meetings are often held for the professed purpose of employee information, they deserve further discussion here.

SAMPLE 2

MEMORANDUM ANNOUNCING NEW POLICY

New York State College of Agriculture and Life Sciences
a Statutory College of the State University
Cornell University

Department of Education
Stone Hall
Ithaca, N. Y. 14853

Subject: University-wide and Departmental Smoking Policy

As indicated in the April 30, 1981 Cornell Chronicle, the following policy was passed by the Campus Council.

Lighting Up Prohibited in Many Places

A new university-wide smoking policy was passed by the Campus Council at its meeting last week.

Section I of the new policy prohibits smoking in the following: classrooms, laboratories and hallways of academic buildings; on campus buses and in university vehicles used by two or more persons; in all elevators, at all indoor athletic events; at all public lectures, concerts, movies and theatrical productions and in lobbies and corridors immediately adjacent to theaters and lecture halls.

Section II calls for the regulation and establishment of separate smoking and non-smoking areas or by prohibiting smoking in cafeterias, dining and lunch rooms; medical facilities; libraries and museums; student, employee and faculty lounges; restrooms.

Section III reads: "In offices that provide regular services to faculty, students, or employees, or where several people work in close proximity, the supervisors should establish guidelines to protect the rights of non-smokers. The guiding principle should be that no member of the community will smoke without the consent of those around them."

The policy also, among other things, proposes the establishment of a permanent commission to monitor implementation of the policies on smoking and recommends that the University Health Services start an education campaign about the hazards of smoking and that clinics should be established to help community members give up smoking.

Copies of the complete policy can be obtained from the Campus Council Office, 165 Day Hall.

If you have not already expressed your concerns, please give your suggestions for implementing this policy (i.e. smoking and non-smoking areas) to me or Barbara Stewart by Wednesday, May 20.

A copy of the complete policy has been requested and will be available from Barbara in Room 100.

/bms

SAMPLE 3

STAFF NEWSLETTER ABOUT PERSONNEL MATTERS

personnel report

University Personnel Services — Cornell University — Ithaca, New York 14853

Vol. 2 | Nos. 4 & 5 | January/February 1981

Supervisory Identification Program (SIP) Completed

With the completion of the Supervisory Identification Program (SIP), personnel report is now being sent to non-academic and library supervisors, in addition to deans, directors, and department heads.

SIP is part of the University's ongoing program to develop effective channels of communication with supervisors.

In October, department heads completed supervisory identification worksheets for all employees who exercise supervisory authority. Both exempt and non-exempt supervisors were identified.

The new list will be used for general and specialized administrative mailings (including personnel report), as well as for participation in such supervisory development courses as "Results-Oriented Supervision."

Change in Processing of Student Payroll Forms

Effective immediately, departments should forward student payroll authorization forms directly to Payroll. Previously, the forms were routed through University Personnel Services.

For student pay rates over $5.00 an hour, departments must attach a brief job description to the payroll authorization form and forward it to the Student Employment Office, 203 Day Hall, for approval. When the pay rate has been approved, the form will be sent to the appropriate payroll office for final processing.

Student payroll authorization forms should be clearly marked "student employee," to avoid processing delays.

For more information, call 6-7170

Supplemental Retirement Annuities (SRAs)

As a result of a typesetting error, "Know Your Benefits?," in the January 22, 1981, issue of NetWorking in the Cornell Chronicle, incorrectly stated that TIAA/CREF tax deferred annuities (SRAs) are available to executive staff members only.

In fact, all regular exempt and non-exempt University employees are eligible to participate in the Supplemental Retirement Annuities Plan (SRA). This Plan is designed to allow employees to set aside tax deferred retirement funds which will provide benefits in addition to those paid by their basic retirement plan.

Contributions to SRAs are made with before tax dollars, thereby reducing the employee's taxable income. Although the University does not contribute to SRAs, payments are made through payroll deductions.

Contributions to this plan can be placed in either fixed income or common stock investment funds at the employee's option. In addition, employees can withdraw funds in cash from an SRA if needed.

For more information, call 6-5936.

Benefits Booklets Distributed

Departments are reminded that booklets for the University's Group Life, Voluntary Accidental Death & Dismemberment, and Long Term Disability Plans which were distributed earlier in the year, should be forwarded to employees who may be out of work on Disability, Faculty Salary Continuation, or Leave of Absence.

For more information, call 6-5936.

personnel report

Appointing Temporaries to the Payroll

Temporary full- or part-time employment is employment for a period of less than six months. To avoid processing delays in appointing new temporary employees to the payroll, the following forms should be forwarded to the Compensation section of University Personnel Services:

- Statutory temporary (less than 3 months)

  —Nonacademic Appointment Form
  —W-4 Tax Exemption Certificate
  —Retirement Form

- Statutory temporary (over 3 months)

  —All of the above forms plus health insurance forms

- Endowed temporary

  —Nonacademic Appointment Form
  —W-4 Tax Exemption Certificate

The Nonacademic Appointment Form should be as precise as possible, including a specific working title, hours to be worked, specific ending date, and a temporary pay rate. Refer to the "Pay Scale for Temporary/Casual Employment" for temporary pay rates and working titles. (See "Guidelines for Temporary Employment," Sept. 1980.)

Temporary appointment extensions for six months will require the approval of the Manager of Compensation. For more information call Compensation, 6-7170, or consult the Personnel Manual (number 205).

personnel report

Published monthly by University Personnel Services, Cornell University, B-18 Ives Hall, Ithaca, N.Y. 14853. Distributed to deans, directors, and department heads, with additional copies dropped at campus mail delivery points for wider circulation. For internal distribution only. Elizabeth Pinchos, Editor. Policies for academic employees and those in collective bargaining units may differ from the policies in personnel report.

Blood Pressure Screenings

Members of the Tompkins County Health Department are available to conduct blood pressure screenings for individual departments as part of their Worksite Hypertension Control Program.

Screenings at Cornell began in 1978 and are credited with the early identification of high blood pressure—hypertension—problems. Some of these employees remain under observation; others have been referred to their own physicians for treatment.

Of those identified as suffering from hypertension; an encouraging percentage are now considered "controlled." Untreated, hypertension can lead to stroke, heart disease, and kidney disease.

Monitoring clinics can also be arranged to check blood pressure and provide counseling and encouragement to those under treatment.

Departments interested in setting up worksite blood pressure screenings should contact Diane Griffeth, Tompkins County Health Department, 273-7272. All screening and counseling sessions are free of charge.

A Note on Distribution . . .

personnel report is distributed to deans, directors, department heads, and supervisors. Copies are also dropped at all campus mail delivery points for wider circulation. (A separate mailing list is not maintained.)

personnel report should be made available to all employees and should be filed only after it has been circulated. A special area in the mailing panel on the last page of each issue is provided for routing within the department.

Building mailroom personnel distribute the copies dropped at each campus mail delivery point; please contact them for further information.

Coordination of Benefits

The Benefits section of University Personnel Services is presently asking all members of the Cornell Endowed Group Health Plan to report any additional group insurance coverage which provides them with benefits.

This information is required to insure that employees or dependents covered by more than one plan receive complete coverage and prompt claims processing.

The Coordination of Benefits (COB) cards are being mailed to each insured individual and should be returned by February 13, 1981.

For more information, call 6-5936.

Position Reclassification Reviews: Guidelines

In order to insure the quickest, most favorable results for the reclassification review of a current position, departments are encouraged to use the following guidelines:

1. Clearly identify the reasons for the request. Generally, there are only two situations which justify reclassification:
   - Substantive increase in job content
   - Evidence that the position is misclassified
2. Complete the Job Analysis Form fully and provide:
   - A covering letter
   - The form itself
   - A current, specific job description
   - A current table of organization, if applicable
3. Route the request through the appropriate chain of approval for your unit. This normally involves your division Vice President's or Dean's personnel representative.
4. Avoid the following pitfalls:
   - Non-specific covering letters
   - Stressing the performance of the individual employee
   - Overstating the job's minimum requirements
   - Providing a non-specific job description
   - Sending in one or two cases at a time, when the entire unit is to be reviewed

For more information, call 6-7170.

Results-Oriented Supervision Program Begins

The Results-Oriented Supervision program, (R-OS) is the first part of a 3-year Supervisory Development Program.

Designed as an introductory overview to supervision, R-OS is open to all supervisors identified in the Supervisory Identification Program conducted by University Personnel Services this fall.

R-OS is designed to help supervisors evaluate their own skills in management and supervision, and assist them in further developing those skills.

R-OS consists of twelve 2-hour sessions held twice a week over an approximately 6-week period.

A pilot version of R-OS is currently being presented to a group of supervisors nominated by the Personnel Support Group. They are critically evaluating each session in order to assure the relevance of course content prior to the official beginning.

The program will officially begin in mid-February and will continue until all supervisors identified this fall have had the opportunity to attend.

For more information, call 6-7400.

First of all, determine the purpose of each meeting. If the intent goes no farther than mere distribution of information, then you can probably accomplish those goals better by the other means mentioned earlier. However, if you sincerely want to solicit feedback or discussion about new procedures, then make that attempt honest by providing (1) ample time for the meeting, (2) advance notice about the meeting to facilitate good attendance, (3) copies of the agenda or of materials to be discussed, and (4) comfortable facilities for the meeting.

Second, let everyone attending know what is to be accomplished at the meeting. The agenda should be open-ended; if not (that is, if only those items on the agenda may be discussed), then provide advance opportunity for attendees to suggest agenda items.

Third, do not systematically exclude attendance by some employees by always scheduling the meeting when it is impossible or inconvenient for them to attend. Vary the day and time of meetings if necessary, but do it in an organized way that everyone is aware of.

Finally, end each meeting with definite decisions. No one should leave the meeting wondering "What did we accomplish? Why did we come?" Recap important decisions or assignments (followed up by written minutes, in outline or summary form, at least), and restate the date, time, and place of the next meeting.

Personnel Records

The records kept by an institution about its employees are often the subject of questioning, some of it idle and some of it bitter. As a person joins the staff or faculty, he/she certainly wonders just how much information is being retained in that "confidential file," and who has access to it, and how it is used. On the other side of the issue, the administrator might feel that there is never enough accessible information from which to fill out still another required report, yet he/she is running out of file drawer space in which to store all those bulging folders.

Clearly, a satisfactory record system must lie somewhere between these opposing views. The procedures by which records are kept should be based on clear policies regarding access, purpose, retention, and fairness, among others. And whatever the procedures, they should of course be openly stated in order to secure the trust of those whose lives are chronicled within the manila folders and computer discs of the personnel office.

When establishing or reviewing a records retention procedure, the first consideration, as discussed earlier, is to comply with the applicable provisions of public laws and professional ethics. The next consideration relates to the purposes of keeping records; put very simply, if you don't need information either for reports or decisions, then don't keep it. As a result, the administrator should systematically review those reports that the institution must periodically submit (to state or federal agencies, grantors, donors or

contractors, accreditation agencies, and the like). He/she should also consider the types of decisions that must be made (about budgets, promotions, transfers, salaries, etc.), and that rely on information about an employee and his/her service to the institution.

Once these needs for data have been determined, the administrator should devise a system that reduces as much as possible the number of times the data must be secured (so as not to bother the employee) and minimizes the number of locations where the data is filed (to save space and regulate access). Finally, decisions must be made about the employee's own access to the records and his/her prerogative to remove or update the information and documents contained therein.

Sample 4 contains a listing of the contents of the personnel files in a hypothetical educational institution, including the source from which the information is obtained, and the sites where it is retained. Sample 5 shows a master record card that can be stored also by electronic data processing.

Current, but potentially obsolete, information should receive special attention. For example, a written reprimand might be temporarily stored in the personnel file. If one of the conditions of the reprimand is that it will be nullified by one year's satisfactory performance, then the administrator must be certain there is a system that will assure the removal of not only the reprimand, but of any evidence that it was ever imposed or filed.

Likewise, a decision should be made about how many periodic (usually annual) evaluation forms are to be retained, or how soon they can be considered to be superseded by subsequent reports. Likewise, letters accumulated in support of an impending personnel action (usually promotion, but perhaps disciplinary action as well) might be considered as removable upon the request of the writer, or the beneficiary, under certain conditions.

SAMPLE 4

CONTENTS OF PERSONNEL FILES

Information Item	Source	Location*		
Name	Applicant	Pers	Pay	Supv
Address and phone---home, office	"	Pers	Pay	Supv
Social Security number (except W-4)	" - optional	(Pers)	Pay	
Sex	"	Pers		
Birthdate	"	Pers	Pay	
Race	" - optional	(Pers)		
Marital status	" - optional	(Pers)	Pay	
No. of dependents (except W-4)	" - optional	(Pers)	(Pay)	
Medical examination	Physician	Pers		
Medical history	Applicant	Pers		
Educ. record:				
Degrees	Transcript	Pers	Pay	Supv
Courses, grades, credits	Transcript		Pay	Supv
Certificates	Copies of same		Pay	Supv
Employment history	Applicant	Pers		Supv
Military record	Dept. Def. Form 214	Pers		
References	Appl. file			Supv
Contract terms	Copy of contract	Pers	Pay	Supv
Staff development plans, "credits"	Employee, agency			Supv
Disciplinary actions	Imposing auth.	Pers[1]	Pay[1]	Supv
Leave records				
Vacation accrued, taken	Supervisor		Pay	
Sick leave accrued, taken	Supervisor		Pay	
Tax status--residency, exemptions	Employee, on IRS W-4 form		Pay	
Payroll deduction authorizations	Employee		Pay	
Insurance enrollment	Employee, form	Pers	Pay	
Performance Appraisals		Pers		Supv
Commendations		Pers		Supv

*Pers = Personnel Director
Pay = Payroll Clerk
Supv = Immediate Supervisor
[1]Only as long as applicable or while it affects pay, mainly suspension

SAMPLE 5

PERSONNEL RECORD FORM

LAST NAME | FIRST NAME | INITIAL | PREFIX (Dr., Mr., Mrs., Miss.) | SUFFIX (Jr., Sr., II) | SOCIAL SECURITY NUMBER

COLUMBUS TECHNICAL INSTITUTE
PERSONAL DATA SUMMARY

PRESENT ADDRESS
STREET | CITY | STATE | ZIP CODE | BIRTH DATE (MO. DAY YR.) | SEX | MARITAL STATUS

PERMANENT ADDRESS (IF DIFFERENT FROM ABOVE)
STREET | CITY | STATE | ZIP CODE | STATE OF BIRTH | LOCAL TELEPHONE

NO. DEP. CHILDREN | PERSON TO BE CONTACTED IN CASE OF EMERGENCY | EMERGENCY TELEPHONE | SPOUSE'S FIRST NAME

RACIAL OR ETHNIC CODE: WHITE | BLACK | ALASKAN OR AMER. INDIAN | HISPANIC | ASIAN OR PAC. ISLAND | OTHER | DISABLED Y/N | DISABILITY TYPE | VETERAN Y/N | WAR SERVED IN

	MAJOR AREA OF STUDY	DEGREE Y/N	DATE GRADUATED OR LAST DATE ATTENDED MONTH	YEAR	INSTITUTION NAME	STATE
HIGH SCHOOL						
CERTIFICATE/REGISTRATION						
ASSOCIATE DEGREE						
BACHELORS DEGREE						
MASTERS DEGREE						
DOCTORATE DEGREE						

• • • DO NOT WRITE BELOW THIS LINE • • •

DATE HIRED | DATE TERMINATED | DEPARTMENT | CONTRACT TYPE | EMPLOYMENT TYPE | CLASSIFICATION | ACCUMULATED: SICK LEAVE | PERSONAL BUSINESS | VACATION

RATE GROUP | CURRENT WAGE | ANNUAL SALARY | HOURLY RATE | PERCENT OF FULL TIME | DATE LAST RAISE | AMOUNT LAST RAISE | PERCENT LAST RAISE

TENURE: YEAR CONSIDERED | YEAR ELIGIBLE | YEAR RECEIVED

EXPERIENCE: TEACHING | RELATED NON TEACHING

JOB TITLE

You may wish to examine firsthand some of the personnel handbooks used by educational institutions in your area or state. You could arrange (perhaps through your resource person) to review a copy from each of three to five institutions, including a vocational education school or college, an educational institution of any sort, and perhaps a governmental or nonprofit public service agency. As you look through these handbooks, you could ask questions such as the following:

- On what basis is the handbook organized? Is it easy to find items in given areas?
- Does the handbook appear to be complete? What do you think should/should not have been included?
- Can you determine who developed the provisions contained therein? When did they become effective?
- Does the handbook seem to be up to date? Would it be simple to revise it (by changing pages)?
- What are the most useful or appealing features about the handbook, which you would like to adopt in your own situation?

You may wish to examine firsthand some of the personnel forms and lists of other personnel records used by educational institutions in your area or state. You could arrange (perhaps through your resource person) to review such documents from vocational education schools or colleges. As you look at these forms and records, you could ask questions such as the following:

- Are the forms redundant--that is, do they require the employee to provide the same information several times on different forms?
- In how many different locations are complete, or partial, personnel records maintained?
- How long are these records retained?
- Do the forms and records appear to provide adequate safeguards for the privacy of employees?

The following "Case Study" describes how a vocational education administrator developed some organized and up-to-date personnel procedures at her institution. Read the situation described, and critique in writing her performance, using the questions at the end of the case to guide you.

CASE STUDY

After six years as supervisor of trade and industrial education, Wilma Lombard has been promoted to vocational education director of Shady Valley School (SVS), a rural, consolidated, comprehensive high school. Since she is a veteran of the school system, she had already mastered many of the curriculum and budgeting aspects of her new job. Now she has set out to straighten up some of the confusing personnel practices she had experienced as a supervisor, and as a teacher before that. With the permission of the superintendent (who joined SVS two years ago), she is reviewing and updating the procedures applying to promotion, discipline, merit raises, and dismissal.

Ms. Lombard decided not to look for any written description of procedures; after 12 years in the district, she had never seen any, so she was sure they didn't exist. However, she did comb the board minutes for the past 15 years, and found only (1) some contradictory resolutions concerning the suspension of teachers for intoxication, (2) a global statement to the effect that good teaching would be rewarded by good pay, and (3) a resolution stating that the board would comply with the 1965 Civil Rights Act when considering personnel for promotion.

As a longtime member of the local chapter of the American Management Association (AMA), Ms. Lombard had several friends who were personnel managers; she also could secure some AMA publications about model personnel practices. She persuaded one of her club friends (the general manager of a small factory) and the supervisor of vocational agriculture education to work with her on two different Saturdays to adapt the AMA documents to their situation at the school.

After she had prepared a first draft of these procedures, Ms. Lombard shared it with one other vocational service area supervisor and the guidance counselor, asking for their comments within three days. They had only a few suggestions, which she incorporated. She submitted her second draft to the superintendent, along with a full report detailing how she had accomplished this task. She also cited those areas in which she felt board policy was silent or contradictory on important personnel matters, and she included language for a motion she hoped the superintendent would introduce at the next board meeting to rectify these problems.

Assume you are the superintendent. What features of Ms. Lombard's actions deserve praise? In what ways was her procedure lacking? Do you think her proposal is ready to adopt, and would you submit the policy changes to the board this month?

Compare your completed written critique of the "Case Study" with the "Model Critique" given below. Your response need not exactly duplicate the model response; however, you should have covered the same major points.

MODEL CRITIQUE

Insofar as Wilma Lombard utilized her own experience, sought the help of a colleague within the school, and considered the sources available from the management community at large, she wisely dealt with her self-appointed task. However, she overlooked some other resources, and the superintendent should ask for more work to be done before placing the new procedures into effect.

For example, there is no indication that legal counsel was used. The AMA "model practices" could not be expected to fit the laws of all states; in fact, there might be some statutes peculiar to education in their application that none of Ms. Lombard's "consultants" would necessarily be aware of. In fact, she should have talked--earlier--to more people at the school, asking their opinions and finding out how they thought the personnel system operated currently, what they would suggest changing, and so on. In particular, she should have asked for a committee to be appointed formally, and perhaps made the administrator in charge of personnel operations a key member of this ad hoc committee. Who knows, she might even have found that there was indeed a policy manual or book of instructions (albeit perhaps an inadequate and obsolete one) whose provisions would have to be formally superseded.

It was a smart move on Ms. Lombard's part to recognize those areas in which clear and definite board policy was needed. However, she should probably have been a little more tactful about proposing changes, letting the superintendent mention it to the board. Then, the superintendent could perhaps secure one board member to work with Ms. Lombard to prepare a motion to which the board would be more receptive.

Level of Performance: Your completed critique should have covered the same major points as the "Model Critique." If you missed some points or have questions about any additional points you made, review the material in the information sheet, "Personnel Policy and Procedures, Handbooks, and Records," pp. 9-23, or check with your resource person if necessary.

NOTES

The following "Case Situation" describes a situation in which an administrator wrote the personnel-records section of a staff/faculty handbook. Read the situation description, examine closely the outline of the procedure handbook she drafted, and identify any deficiencies that might exist. Correct these errors either by providing new items for the outline, or by correcting and rearranging those already there. (You can make some of these changes on the proposed outline itself or describe them on a separate sheet of paper.)

CASE SITUATION

After correcting her work in the manner suggested in the previous "Model Critique," our same subject, Wilma Lombard has, one year later, undertaken to publish a new section of the recently created personnel handbook. This part deals with personnel records and files. Here is how she has organized the draft of this section:

Section 8.0 Personnel Records, Files, and Reports

8.1 Policy Statement (from board minutes, February 24, 198-)

8.2 Records Locations (duplicate copies of all contents at each)
- 8.21 Board clerk/treasurer
- 8.22 Superintendent
- 8.23 Assistant superintendent for business and personnel
- 8.24 Payroll clerk
- 8.25 Supervisor

8.3 Forms to Be Filed
- 8.31 Application
- 8.32 Medical history and examination (all previous)
- 8.33 Insurance claims
- 8.34 Disciplinary actions and letters
- 8.35 Promotion worksheets
- 8.36 Annual evaluations and staff development reports
- 8.37 Current contract

8.4 Reports Based on Files
- 8.41 Annual salary summary, classified by sex, race, rank, division
- 8.42 Vacation schedule (consolidated)
- 8.43 Leave balances (individual)
- 8.44 Tax and withholding summary

8.5 Records Retention

8.51 Records kept at all locations for three years after separation

8.52 Records consolidated with last supervisor, kept seven more years

Compare your completed written corrections with the "Model Corrections" given below. Your responses need not exactly duplicate the model responses; however, you should have covered the same major points.

MODEL CORRECTIONS

The outline was clearly and logically organized, but within those neat columns were some omissions and errors. Most conspicuous by its absence was any reference to limitations to access to the files, that is, guarantees of privacy. In fact, maintaining identical files at five different locations considerably raises the risk not only that some information discrepancies will creep in, but that unauthorized disclosure might take place. Does the clerk/treasurer have any information needs that can't be served by the payroll clerks' files? Why must the supervisor be burdened by the requirement to file copies of insurance claims, medical history, or contracts? In short, section 8.2 should be shortened, and the file contents at each location differentiated to reflect only that administrator's "need to know" at each location. Also, a section 8.6 on access and privacy regarding files should be added.

If we take the reports in section 8.4 as a given, then the contents of the files will not be able to support those information needs. Specifically, vacation records were not included, yet are clearly needed by reports 8.42 and 8.43. Likewise no tax exemption/withholding forms (W-4s) seem to be kept, yet they're necessary for report 8.44. Furthermore, insurance enrollment forms are more important than claims (once they've been paid satisfactorily). In addition, there is no apparent need to retain a promotion worksheet once a decision has been made each year, but where are the letters of reference that might have been considered in those deliberations? Moreover, no mention is made of academic records or certificates, two important ingredients in salary determination.

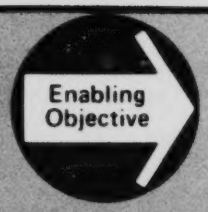
Finally, the files are being retained too long at too many places; the best point for consolidation would probably be the superintendent's or assistant superintendent's office.

Level of Performance: Your completed corrections should have dealt with most of the same errors, and corrected them the same way, as was done in the model responses. If you missed some points or have questions about any additional points you made, review the material in the information sheet, "Personnel Policy and Procedures, Handbooks, and Records," pp. 9-23, or check with your resource person if necessary.

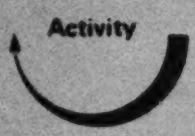
NOTES

Learning Experience II

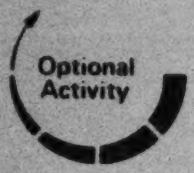
OVERVIEW



After completing the required reading, critique an administrator's performance in handling a personnel grievance.



You will be reading the information sheet, "Grievance Procedures," pp. 35-48.



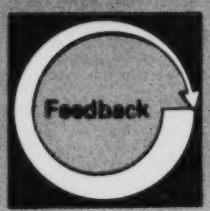
You may wish to attend a grievance session and observe the various procedures used.

You may wish to interview an individual who is serving or has served as chairperson of a grievance committee or hearing.

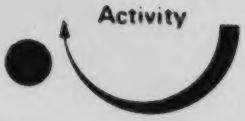
You may wish to view the films about arbitration available from the American Arbitration Association.

continued

You will be reading the "Case Study," pp. 51-52, and critiquing the performance of the administrator described.



You will be evaluating your competency in critiquing the administrator's performance in handling grievance procedures by comparing your completed critique with the "Model Critique," pp. 53-54.



For information about how to handle complaints and grievances, read the following information sheet.

GRIEVANCE PROCEDURES

The way people work together in an organization is of critical importance to the effectiveness of the organization. Beginning with the Western Electric Company's Hawthorne study, it has consistently been demonstrated that efficient production is related to good employee morale. However, in every employment relationship, some grievances and dissatisfaction inevitably arise.

The causes of dissatisfaction and complaints are sometimes either imagined or inconsequential. However, a lack of means for the employee to express dissatisfaction, lodge a complaint, or air a grievance may turn small problems into far more serious ones. Many complaints and grievances, of course, may indeed be of a serious nature or may involve a large segment of the institution's staff.

The causes of grievances and complaints can usually be classified into one of three general headings: poor communications, different frame of reference, or self-interest.

- Poor communications--No job is without some concerns--some areas requiring improvement. These concerns can become grievances if the employee feels that no one is listening and responding to these concerns. If the employee cannot freely discuss concerns with those around him/her--and be confident that these concerns are being taken seriously--then dissatisfaction can build. Poorly written policies and procedures are also a form of communication that often require improvement.
- Different frame of reference--This is, in part, related to communications. What's important to an administrator (e.g., getting data to prepare a report for the federal government) might not be important to an instructor trying to find enough time to prepare students for a student vocational organization state contest. That different persons operate from different frames is to be expected. To avoid having this become a problem, however, the administrator must be aware of these differences and provide adequate explanation of the importance of the tasks he/she is seeking to complete.
- Self-interest--Salaries, benefits, work load, and working conditions are important. Instructors certainly get satisfaction from seeing students learn and grow, for example, but each of them also has a self-interest. If the needs of the employee are not being sufficiently met--and no change is in sight--grievances can arise.

Grievances usually arise from one of three sources: the job, the employee, or the supervisor.

- Job--Are there wage inequalities? Are working conditions poor? Is the level of work too hard? Are promotional opportunities limited?
- Employee--Is the employee underqualified or overqualified? Is the employee emotionally unstable? Is he/she experiencing family troubles or poor health? Does the employee have a different cultural background which is causing him/her problems? Does he/she dislike the work?
- Supervisor--Does the supervisor make arbitrary decisions? Does he/she fail to listen? Has he/she discriminated against employees based on race, sex, cultural background? Does the supervisor make hasty decisions without full facts?

A supervisor who is sensitive to his/her employees can often detect when something is bothering those employees under his/her supervision. The employees demonstrate such things as lack of interest in their work. They become antagonistic toward the supervisor and each other. Their tardiness and absenteeism increase. Or they disregard rules and regulations.

Definition of a Grievance

As noted above, a grievance may arise from a large number of causes, which may be either real or imaginary. The term "grievance" connotes conflict and irritation, and thus could be defined as any gripe or any type of complaint by an employee, group of employees, union or an employee association against the employer, or vice versa--by an employer against an employee, group of employees, union or an employee association. However, where a collective bargaining agreement exists, a grievance is that which the parties to the particular agreement say that a grievance is.

Where a collective bargaining agreement contains a grievance procedure, the procedure usually defines a grievance as any violation, misapplication, or misinterpretation of the terms of the collective bargaining agreement. Under this definition, employees could legitimately file grievances about only those provisions contained in the contract. Those matters not covered by the collective bargaining agreement generally cannot be grieved. For example, if the agreement were silent on how and under what conditions employees will be transferred from one position to another, the employer could deny any employee's request to transfer to another position, and the employee would have no recourse through the grievance procedure.

In some agreements, the definition of a grievance is extended to include such items as violation, misinterpretation, or misapplication of institutional policy and administrative procedures--or violation, misapplication, or misinterpretation of past practice.

The inclusion of these provisions in the grievance definition greatly expands the matters about which an employee may legitimately file a grievance. It also applies to those institutions not operating with a collective bargaining agreement.

In the example cited above, the employee desiring a transfer would have a legitimate grievance (1) if the definition of a grievance made the violation, misinterpretation, or misapplication of institutional policy grievable, and (2) if there were a policy that made provision for honoring employee requests for transfer to other positions. Similarly, an employee would have a grievance if "violation of past practice" were included in the grievance definition, and if it could be proven that, in the past, the employer had made a practice of honoring requests for transfer under similar or the same conditions.

It should be noted that, on occasion, collective bargaining agreements contain language such as the following:

> A grievance shall be defined as . . . a complaint by a teacher that his/her rights as a professional educator have been abridged.

This type of language makes almost every complaint, gripe, or whim of the employee grievable. There may be many legitimate reasons for including this kind of language in a collective bargaining agreement. However, from the employee's standpoint, there would be little need for the collective bargaining agreement to contain many other provisions, because almost every action by the governing board or the administration could be challenged through the grievance procedure. The employee would merely need to prove that some right as a professional educator has been violated in order to have the grievance sustained.

Participants in the Grievance Procedure

Since the grievance procedure operates somewhat outside the usual administrative channels, it involves some roles that bear names that are not normally part of organizational structure. (In most cases, however, these roles are filled by persons that are a part of the institution.) In order to help you understand these roles and those who fill them, the following definitions should be helpful:

- Aggrieved party--This is the individual who feels he/she has suffered an injustice that can be best resolved through the grievance process. This person need not necessarily be a classified employee or a teacher/instructor; other professional staff, middle-level administrators, and in fact, chief administrators have been known to seek recourse through grievance channels.
- Grievance committee--This is a formally appointed group--usually selected by their fellow employees through union, association, or other organizational means--that works with the administration to draft,

evaluate, and revise grievance procedures, and who advise prospective aggrieved parties concerning whether grievance procedures are the most appropriate way to resolve their complaints.

- Employee representative--This is an individual, perhaps an attorney, who advises the aggrieved party, who attends grievance hearings or interviews with him/her, and who, at times, can initiate or respond to actions and inquiries on behalf of the aggrieved party. The chairperson of the grievance committee might serve in this capacity, but need not necessarily do so.
- Arbitrator--This refers to a third party--usually one from entirely outside the educational institution--who is selected by both parties to provide a final resolution to a grievance dispute. This person could come from any organization, perhaps a state department or agency, but is most often referred through the services of the American Arbitration Association, 140 West 51st Street, New York, New York 10020 (or through their regional offices located in 24 major cities throughout the U.S., including Charlotte, Chicago, Dallas, Miami, and Pittsburgh.)

Attitude Toward the Grievance Procedure

It is said that collective bargaining is not confined to making an agreement once a year or once every two or three years. Rather it is a day-to-day evolutionary process in which the grievance procedure plays a vital role. The grievance procedure is a part of the continuous collective bargaining process and is said to be at the core of the negotiated agreement. Many labor/management experts maintain that continuous negotiations through the grievance procedure are needed because the two parties to the agreement cannot possibly conceive of every eventuality that might arise during the life of the agreement. The grievance procedure provides a means of resolving those issues without disrupting the organization.

The degree of "good faith" that the institution's administration and its employees have toward each other is more evident in the manner in which grievances are handled than perhaps any other area of the relationship. While it is important to have a well-thought-out and organized grievance procedure, the attitude of the two parties toward resolving grievances is more important than the grievance machinery in grievance resolution. The attitude, judgment, experience, and training of the individuals involved are of prime importance. A desire to settle grievances--rather than a desire to win them--is essential. Both the administration of the institution and the employee association/union share responsibility for developing this positive attitude.

The union/grievance committee should not present a grievance to the administration unless there is a real basis for complaint. The association grievance chairman or the union representative in charge of grievances (e.g., steward, building representative, grievance chairman) should accept responsibility for screening out complaints that have no real merit.

The United States Department of Labor, as far back as 1943, recognized this responsibility when drafting a manual for stewards:

> Use your best judgment in deciding whether or not a grievance is justified--If you are convinced that the worker does not have a real case, it is better to tell him/her so right from the beginning. Taking up a lot of poor cases will cost you the respect of all concerned. On the other hand, don't forget that you are the worker's representative. If the case is a borderline one, but you feel that the worker has considerable justice on his/her side, tell him/her frankly that you are not sure what is the correct answer. Then take the case up and get a definite ruling through the grievance procedure.

Similar suggestions were made for representatives of management:

> Greater emphasis should be placed on training supervisors in the human relations aspects of their jobs. Many times a worker simply wants a relief hour or perhaps a sympathetic listener. Supervisors must be given better training on the importance of fully hearing out rather than prematurely debating with their employees. They must acquire the ability of noting what is being said, rather than the manner in which the problem is being presented. Only in this way can gripes be separated from grievances, or can gripes be kept from becoming grievances.

A Typical Grievance Procedure

Grievance procedures consist of a series of procedural steps to be taken within specified time limits. The nature of the procedure will depend on the organization of the institution and the desires of the parties. Generally, the more complex the organization, the more steps there will be in the procedure. Thus, there is wide variation in grievance procedures among educational institutions.

The general pattern that has evolved consists of two to five steps. The first step should begin with the aggrieved party's immediate supervisor. This step involves an informal discussion between the dissatisfied employee and the administrator who made the decision or took the action being grieved. The intent of the meeting should be to explain, discuss, and settle the differences. There may or may not be representation at this stage. It is hoped that the great majority of grievances will be resolved at this level. However, if no settlement is reached, the grievance can be appealed through successive levels of the institution's administration.

In order to ensure that grievances are resolved and not permitted to lie unattended, time limits are established for each level. The typical procedure will require that the aggrieved party file the grievance within a specified number of days after the date of the occurrence that gave rise to the grievance. The administration will then be required to establish a meeting to

discuss the grievance within a specified period of time after the filing of the grievance. Usually the meeting date and time must be mutually agreeable. Following the meeting, the administration must provide the aggrieved party and his/her union or other employee association with a written response within another time limit, perhaps using a standard grievance report form (see sample 6). The aggrieved party then has a set time period to decide if the response is satisfactory or if he/she wishes to pursue the grievance.

Generally, these time limits may be further extended by mutual consent of the parties. Time limits usually consist of working days. The time limit for filing a grievance may range from as short a period as one or two days from the date of the occurrence (which gave rise to the grievance) to as much as six weeks or two months. The time limit for administration response usually ranges from two to five days. Similarly, the aggrieved party and the employee organization are usually allowed from two to five days to decide whether to accept the decision or move the grievance along to the next level.

Should the administration fail to respond within the prescribed time limit, the grievance is automatically positioned for hearing at the next level. If the aggrieved party fails to respond within the prescribed time limits, the grievance is deemed settled based on the last response of the administration.

It is usually understood that a settlement of a grievance, accepted by both parties, is binding on both parties only insofar as that particular instance is involved. It follows that any and all future instances of an exact nature will be handled in the same manner as that determined in the settlement agreement. In other words, the settlement of a grievance, in effect, changes or modifies the collective bargaining agreement or general personnel policies only insofar as the facts of the grievance hold for future situations--a precedent is established. (See sample 7.)

Employee representation initially may be furnished by the departmental or building representative to the employee association or union. At higher levels, the chairperson of the grievance committee may represent the aggrieved party. In some instances, paid union/association officials may represent the employee at grievance hearings before the chief executive officer or his/her designee, before the governing board, or in arbitration. Quite frequently, both sides are represented by attorneys, especially in hearings before an arbitrator.

The Principles of Due Process

Recognizing that it is not possible to devise a single plan for handling grievances in all education institutions, it is possible to identify certain

SAMPLE 6

GRIEVANCE REPORT FORM

Name of Grievant:

Department:

Position:

Date Filed:

STEP ONE: APPEAL TO IMMEDIATE SUPERVISOR

A. Date of Knowledge of Grievance _____

B. Statement of Grievance _____

_____

_____

_____

_____

_____

_____

Signature of Grievant _____ Date _____

C. Decision of Immediate Supervisor _____

_____

_____

_____

_____

_____

Signature of Immediate Supervisor _____ Date _____

(Use additional pages if necessary)

Personnel Office - 1/80

Grievance Report Form, continued

Name of Grievant:

Department:

Position:

Date Filed:

STEP TWO: APPEAL TO NEXT HIGHER SUPERVISOR (repeat as needed through chief administrator and/or board)

A. Reason for Appeal _____

_____

_____

Signature of Grievant _____ Date _____

B. Decision of Next Higher Supervisor _____

_____

_____

Signature of Next Higher Supervisor _____ Date _____

STEP THREE: APPEAL TO _____

A. Reason for Appeal _____

_____

_____

Signature of Grievant _____ Date _____

B. Decision of _____ _____

_____

_____

Signature of _____ _____ Date _____

Personnel Office - 1/80

Grievance Report Form, continued

Name of Grievant:

Department:

Position:

Date Filed:

STEP _____: APPEAL TO BINDING ARBITRATION

A. Reason for Appeal _____

_____

_____

_____

Signature of Grievant _____ Date _____

B. Decision of Arbitrator _____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

Signature of Arbitrator _____ Date _____

Personnel Office - 1/80

SAMPLE 7

AN APPROPRIATE CHECKLIST FOR A GRIEVANCE PROCEDURE

Checklist Items

____ 1. Is the term grievance defined?

____ 2. Is the grievance procedure outlined into a number of steps?

____ 3. Is the resolution of a grievance at the informal level (first step) encouraged?

____ 4. Are time intervals for each step identified?

____ 5. Is it clear that, if a grievance is not carried forward to the next step, it will be considered settled?

____ 6. Is it clear in the procedures that the grievance should be submitted in writing?

____ 7. Are provisions made for a written record of grievance meetings and hearings?

____ 8. Is the type of information to be included in a written grievance noted?

____ 9. If a negotiated agreement is present, does the grievance procedure define and allow representation in the presentation and settlement of the grievance?

____ 10. Is it clear whether the grievance session is to be scheduled during work hours or after work hours?

____ 11. Is there a policy on employees being paid for time spent in processing a grievance?

____ 12. Is arbitration to be used in the grievance procedure?

____ 13. Is there a statement concerning how arbitrators are to be selected?

____ 14. Is it agreed that the arbitrator's decision is final?

____ 15. Is the grievance procedure published and readily available to everyone in the institution?

characteristics that should be present in any good grievance procedure as follows:

- Whenever possible, grievances should be resolved at the lowest level, that is, with the immediate supervisor. Any employee, whether a union/association member or not, has a right to discuss his/her grievance with this immediate supervisor.
- The aggrieved party should have the right to representation. A representative should be available when a grievance is being formally discussed. The settlement of an individual grievance may ultimately have impact on all employees whom the employee organization has pledged to serve. Frequently, the organization will reserve the right to be present at any grievance session above level one.
- A tape-recorded and/or written record should be kept of all grievances as they arise, and the manner by which they are resolved. It behooves both parties to be aware of the problems that are arising. In this way, both the personnel policies and the grievance procedure can be strengthened.
- The procedures for handling grievances should be clear. Procedures should be written to minimize misunderstanding. They should be readily accessible to all concerned.
- In order for the grievance procedure to work effectively to resolve disagreements between the employer and the employee, the aggrieved party should be guaranteed that he/she may state his/her grievance in confidence, without fear of prejudice or reprisal. Such a guarantee should be written into the procedures.
- The grievance procedure should spell out clearly what is meant by the term "grievance." The parties must provide their own exact definition. If any subject is not admissible to grievance review, it should be spelled out clearly.
- Good grievance procedures should contain a time schedule that guarantees that the grievance will be resolved as soon as possible. Such a schedule begins at the point in time when the event that gave rise to the grievance occurred or when it became known to the aggrieved party. The aggrieved party should be required to submit the complaint in writing, within a clearly stipulated period of time after the event in question. Each step thereafter should transpire within a given period of time. Such a time schedule notifies each party in advance of progressive developments. The absence of a time schedule can lead easily to abuse--intentional or otherwise.
- The grievance procedure should not be in conflict with state statutes. For instance, in Rhode Island, teachers may carry grievances to the state commissioner, then to the state board, and then to the district court. What happens in those communities that have negotiated agreements calling for other channels of appeals of grievances? There should be one grievance procedure--one that is mutually acceptable to the employees and to the governing board.

- If arbitration is incorporated into the grievance procedure, it should be defined and explained completely, including who selects the arbitrator(s), who pays for arbitration, whether arbitration will be binding on both parties, what type of records will be kept of arbitration proceedings, etc.

The Role of Arbitration

The final appeal is usually an impartial review before a third party, with an arbitrator or some other disinterested third party. In the past, governing boards and institutional administration have been very reluctant to be bound by the judgment of some impartial third party, i.e., binding arbitration, or might even have been prohibited by statute from resorting to arbitration. However, within the past few years, the use of impartial third parties has increased significantly.

The arbitrator is both judge and jury, selected usually by both parties. He/she has the right to obtain and review needed information, assess its relevance, consult existing procedures, and prescribe the terms of a settlement for both parties. The arbitrator does not have the right to amend, modify, nullify, ignore, add to, or adjust the issue being considered.

The process of arbitration differs from conciliation, from mediation, and from fact-finding. In conciliation, those parties involved consent to asking a third party to help them continue to negotiate. The conciliator takes no part in bargaining but merely tries to get the parties themselves to continue working out their differences. In mediation, the parties also call in a third party, but in contrast to the conciliator, the mediator actually takes an active part in negotiation. The mediator expresses opinions on the institution's position and on the staff's stand and, in this way, tries to get both groups together. But the mediator's opinions, like those of the conciliator's, can be ignored. In fact-finding, the people involved either agree or are told by a government agency (federal, state, or local) that they must tell their side of the story to an impartial board. The board analyzes the facts and the arguments of each side and makes recommendations. However, those involved do not have to agree to accept those recommendations.

The use of arbitration means bringing in a third party to settle a dispute. Usually, when an issue is taken to an arbitrator, it is agreed that the resulting decision is final.

There are a number of reasons for using arbitration to resolve grievances, including the following:

- Arbitration is much more efficient than resorting to the courts for solutions. The average span of time from the filing of a demand for arbitration to the rendering of a decision may be as short as two months and seldom more than six months.

- The uncertainty about the decision the arbitrator will render encourages both parties to evaluate their positions and to seek to reach an acceptable compromise.
- Arbitration is less expensive than resorting to the courts or risking a work stoppage or work slowdown.
- Arbitration by experts in the field usually results in a more equitable resolution of disputes than decisions made by judges, who work in diverse areas of law and are not specifically familiar with labor/management relations as applied to educational institutions.
- Arbitration, in contrast to appeal to civil service commissions and similar administrative appeal proceedings, provides for a final decision by individuals designated by the parties to the action.
- Arbitration permits the continuation of work by employees during the normal processing of the grievance. (Potentially explosive disputes are deterred while the grievance is processed.)

Other positive aspects of arbitration include the following:

- Arbitration tends to treat the strong and the weak alike. The arbitrator bases the discussion on the policies and procedures and/or on a collective bargaining contract and the facts as presented in the hearing.
- Arbitration provides an opportunity for balancing inequities between parties.
- Arbitration provides for solving vexing problems between parties that either could not be solved by the parties during negotiations or were not foreseen during contract negotiations.
- Arbitration, in many cases, provides a catharsis to the parties by giving them their "day in court" and an opportunity to save face, i.e., a third party gave the issue away.
- Arbitration decisions not only resolve the dispute at hand, but also serve as a guide for future interpretations and applications of policies and procedures or the negotiated agreement, and for arbitration of future disputes arising from the same or successor contracts.

Although arbitration has become the most widely used form for resolving grievance disputes, it does possess a number of limitations, as follows:

- Despite its informality, arbitration can be costly. The concept that both parties share in the cost of arbitration, including the arbitrator's fee and expenses, may act as a burden on small institutions and small faculty associations or union locals. Appeals to applicable administrative agencies or the courts do not involve this cost.
- Arbitration can be abused by the unscrupulous use of power. When used as a tool of harassment by either party, it can impose an intolerable pressure on the other side to capitulate on the grievance rather than be "arbitrated to death."

- The trend toward excessive legislation in arbitration in the public sector has deterred the informality and speed usually associated with arbitration in the private sector. The increasingly common use of attorneys and reliance on transcripts and posthearing briefs in the public sector have caused public sector arbitration to become slower, less effective, and more expensive than in the private sector.
- Arbitration is a private proceeding with limited opportunity for either the public employer or public employee to exercise political leverage.

You may wish to visit a grievance hearing in session. You could arrange through your resource person to make contact with an educational institution that has a grievance procedure, and ask them to notify you when a grievance hearing is scheduled that is open to the public (not every one is; either party may request that the hearing be closed).

When you attend, observe the various procedures used. To help structure your observation, you might wish to prepare in advance a list of things to look for, such as the following:

- Are either of the parties assisted by legal counsel or other representative?
- Is a written or taped record being kept of the proceedings?
- Have other steps in the grievance procedure preceded this hearing?
- Have the facts leading to the grievance been written down and were they presented early in the hearing?
- Was a decision made at the end of the hearing? If not, in how many days will it be made, and by whom? How long after that will the aggrieved party have to respond?
- Is the atmosphere one of mutual cooperation to reach a settlement, or is it one of belligerence?

You may wish to visit with a person who is currently serving, or has previously served, as the chairman of a grievance committee. This may be an administrator, but more likely will be a teacher/instructor who has been selected by a teachers union, a professional association, or a faculty assembly/senate. You could arrange through your resource person to set up this visit. (If one is not available, a personnel director may be able to help you instead.)

During your visit, you might want to seek the answers to questions such as the following:

- What is the definition of a grievance at this institution?
- Approximately how many times has the grievance procedure been activated in the past year or two?
- Have any near-grievance incidents occurred that were dealt with by other, more satisfactory means?
- What has been the role of the grievance committee and/or chairman?
- What advice does he/she have to offer any institution about to set up a grievance procedure?

You may wish to view one or more of the films about the role of an arbitrator: "The Drama Coach Grievance," "Dispute Settlement in Public Employment--The Lost Fringe Benefit," and "Trouble in the Firehouse." These films are available for a rental fee of $30-$50 from the Publications Department, American Arbitration Association, 140 West 51st Street, New York, New York 10020 (Phone: 212-977-2077).

NOTES

The following "Case Study" describes how a series of vocational education administrators dealt with a grievance situation. Read the situation described, and critique in writing the performance of each administrator.

CASE STUDY

Two weeks ago, Eldon Wendell, a typing and office machines instructor at Eastpoint Vocational School (EVS), was assigned to host a two-day Junior Achievement conference, including a tour of the EVS facilities. The assignment, which involved no extra pay, was made on extremely short notice, causing Mr. Wendell to have to cancel his plans to attend a statewide secretarial association convention that same weekend. After brooding about this problem for a while, he decided to pursue the matter as a grievance, citing that part of the personnel handbook that states that a teacher can be assigned to only one club advisory duty (compensated) and as chairperson/host of one special event (usually noncompensated) per academic year. Since Mr. Wendell is the advisor of the student chapter of the Professional Secretaries Incorporated, and was the coordinator of the "Vocational Olympics," he concluded that he had already done his share.

In accordance with the first (informal) step of the school's grievance procedures, Mr. Wendell sought an interview with the supervisor of business and office education, Alice Broust. However, Ms. Broust said they had nothing to discuss, reminding him that the final paragraph of all teachers' job descriptions states "and any other duties that may be assigned from time to time by a supervisor or other responsible administrator."

Mr. Weldell immediately moved to the second step. He filed his grievance, using the form provided, and thereby asked for a hearing with the director of vocational education, Jim Thompson. Mr. Thompson met with him for two hours three days later. During the meeting, they heard testimony from the director of student services and community relations (who had initiated the last-minute request, through Ms. Broust, for Mr. Wendell's services as host), from Ms. Broust herself, and from the personnel/business administrator (regarding the intent of the personnel procedure cited). Mr. Wendell did not choose to be represented but was afforded the opportunity to question those giving information.

Two days later, Mr. Thompson told Mr. Wendell that he sympathized with his situation but upheld the judgment of Ms. Broust in assigning him to the conference/tour duties. Mr. Thompson acknowledged that there were some discrepancies between the job description and other established personnel procedures, and promised "to look into changing them." This decision was conveyed in writing, along with a summary of the two-hour meeting. Mr. Wendell was further informed that he could move to the next step, within five working days, if he did not accept this judgment.

Mr. Wendell did just that four days later by asking the superintendent, Dr. Spencer, to arrange for a formal hearing. This involved Dr. Spencer, and a panel including another teacher, the supervisor of distributive education, and the placement coordinator. The school board's attorney attended, and Mr. Wendell was represented by the president of the local teacher's association.

After reviewing the record of Mr. Thompson's meeting and talking again with some of the parties in the case, the hearing panel recommended to Dr. Spencer (1) that Mr. Wendell receive a special letter of appreciation for his "above-and-beyond" duties at the Junior Achievement conference (with a copy to be placed in his file), and (2) that he not be required to coordinate the Vocational Olympics or any other major event in the coming year. Dr. Spencer adopted the panel's recommendation by so informing Mr. Wendell in writing two days later. He further added that all job descriptions were being modified immediately to qualify that last paragraph with the phrase, "consistent with applicable institutional policy."

Although the grievance form and Dr. Spencer's letter both stated that Mr. Wendell could proceed to the next step--a meeting with the entire board--by so indicating this request within five working days, Eldon decided to accept the superintendent's action.

Compare your completed written critique of the "Case Study" with the "Model Critique" given below. Your response need not exactly duplicate the model response; however, you should have covered the same major points.

MODEL CRITIQUE

In nearly every respect, the procedure in use at Eastpoint Vocational School seems to be a sound one. Representation was allowed; definite time limits for requesting a move to the next step, and responding to such requests, were established, made clear, and adhered to. Mr. Wendell's problem seems to constitute a legitimate grievance in that it arose concerning a question about the interpretation of procedures.

Only the performance of Ms. Broust was less than desirable. This important first step of a grievance procedure affords both parties the chance to informally discuss why the situation arose, what effects it had, and what alternatives were possible to rectify the problem. Perhaps she could have explained that no other experienced teacher was available to take the duty, or that no one had been aware that Mr. Wendell would have to miss the convention, or the reasons why he wasn't notified earlier, and so on. Just an apology, or at least a sympathetic ear for an hour or so, might have saved all the time that was consumed in subsequent formal hearings.

At the second step, Mr. Thompson seems to have acted correctly, although he didn't offer anything tangible to relieve Mr. Wendell's problem. Perhaps he upheld Ms. Broust's action as a matter of course in an effort to support his subordinates. However, he should have taken some affirmative step to resolve the discrepancies between procedures and the job description. To his credit, he asked for information firsthand from those who were involved, and gave Eldon a chance to hear that information and "cross-examine" those persons.

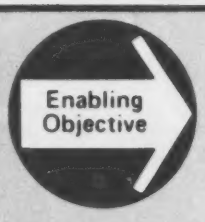
Finally, Dr. Spencer acted very wisely, not only in the decision he made, but in forming a hearing panel to assist him in receiving and evaluating the information from many sources. His action to modify the job description phrase was also commendable.

Thus, the combination of systematic procedures and scrupulous, conscientious attention to them by nearly all the affected administrators, especially Dr. Spencer, helped resolve the grievance to the apparent satisfaction of all parties.

Level of Performance: Your completed written critique should have covered the same major points as the "Model Critique." If you missed some points or have questions about any additional points you made, review the material in the information sheet, "Grievance Procedures," pp. 35-48, or check with your resource person if necessary.

Learning Experience III

OVERVIEW



After completing the required reading, critique an administrator's performance in administering staff benefits and leave and absence policies.

You will be reading the information sheet, "Choosing and Administering Fringe Benefits and Leave and Absence Policies," pp. 57-75.

You may wish to interview an educational administrator or a consultant who specializes in staff fringe benefits.

You may wish to examine some brochures about fringe benefits programs in other educational institutions, in order to compare their provisions.

You will be completing the "Case Studies," pp. 77-80.

You will be evaluating your knowledge of staff benefits and leave and absence policies by comparing your responses with the "Model Critiques," pp. 81-83.

NOTES

For information about how to choose and administer staff fringe benefits and leave and absence policies, read the following information sheet.

CHOOSING AND ADMINISTERING FRINGE BENEFITS AND LEAVE AND ABSENCE POLICIES

Educational institutions that have an attractive fringe benefit program generally are in a better position to recruit and hold high-quality staff. These schools and colleges are also in a better position to compete with business, industry, and other governmental agencies, which often offer better salaries and an appealing array of benefits. The latter is particularly important for staffing vocational education programs inasmuch as many of those teachers are recruited directly from business and industry. A good fringe benefit program also helps to maintain a desirable level of staff morale. (See sample 8.)

School systems have been slow to adopt fringe benefits. Prior to 1960, the fringe benefit packages of most school districts were limited to a retirement program (usually established and required statewide), sick leave, and hospital insurance. In fact, the hospitalization coverage was more likely than not to be limited to the employee only.

Expansion of fringe benefit programs has occurred most rapidly in the large metropolitan areas where teacher unions first negotiated with boards of education. Today's school employee contracts may now include such interesting additions as (1) prepaid legal services, (2) dental care, (3) income tax assistance, and (4) psychiatric care and family counseling, related even to off-the-job problems.

An appropriate fringe benefit program for school employees should be designed to produce employment conditions that promote the continual improvement of the instructional program. To accomplish this objective, benefits program should do the following:

- Provide financial security to the individual employee
- Safeguard the mental and physical health of the employee
- Foster the professional growth and morale of the staff
- Promote staff stability

A general fringe benefit program should include provisions for retirement, health protection, life insurance, professional development, and to a lesser extent, employee counseling, and social and recreational activities. In addition, the school as an employer is also required by law to pay a portion of a statewide retirement system contribution and/or social security tax, unemployment compensation, and worker's compensation. These programs might

SAMPLE 8

Hi and Lois
by MORT WALKER and DIK BROWNE
C'MON, CHIP, WE'RE LATE!
IN A MINUTE...
I GOTTA DO A LITTLE NEGOTIATING...
DITTO, I HAVE BASEBALL PRACTICE TODAY, WILL YOU DELIVER MY NEWSPAPERS?
HOW MUCH?
I'LL GIVE YOU A DOLLAR
AND?
I'LL LET YOU PLAY WITH MY COMPUTER FOOTBALL GAME
AND?
I'LL GIVE YOU THAT CANDY BAR I WAS SAVING
AND?
DIK BROWNE 3-22
YOU CAN COME INTO MY ROOM AND LOOK AT MY BASEBALL CARD COLLECTION
YOU GOT A DEAL!
THERE'S NO DOUBT ABOUT IT- FRINGE BENEFITS ARE THE NAME OF THE GAME TODAY
3-22
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add 20-30 percent to the total cost of compensating staff and faculty. Vacation, sick leave, and allowances for other absences are also important, and will be discussed later.

Comparison of Benefit Plans

As you will read in the following pages, not only are there many types of fringe benefits, but each of them often has many levels of coverage or benefits, and many forms in which it can be offered or administered. Fringe benefits now constitute a major share of the institution's budget (perhaps an additional 25 percent above the cash paid to the employee directly, or about 15 percent of the institution's total expenses). Therefore, it behooves the administrator to select benefit programs wisely. Some of the factors to consider are benefit to the individual, employee demand or utilization, value to the institution, ability of the institution to administer the program, and the cost to the institution.

Benefit to the individual. The value that an employee attaches to a given benefit can be expected to vary considerably. The characteristic that most commonly leads to differing insurance needs, for example, is family status. A single person is less likely to want extensive life insurance protection than is someone with a spouse, children, or other dependents. Likewise, the single employee with no dependents will have no interest at all in health insurance plans that allow enrollment of dependents at low extra cost. Nearly everyone wants some sort of retirement plan, but older employees will be more likely to request preretirement counseling services.

Geographical location might also lead to different assessments of the value of benefits. Instructors at a technical college located in a rural area would probably appreciate having housing provided at low cost by the institution--or at least having access to a housing referral service. On the other hand, the faculty members of a school located in the midst of a metropolitan area are more likely to covet parking privileges or safe, sheltered, convenient access to public transportation.

Employee demand or use. The varying factors described in the preceding paragraphs will lead to different patterns of demand for or use of benefits, once provided. Employee demand for or use of benefits should be periodically assessed when evaluating benefit options. For example, if few of the staff take advantage of tuition waiver programs for their dependents, but show increased interest in educational assistance for their own professional development, then emphasis and dollars could be shifted by restricting the former program and expanding the latter. Likewise, as staff turnover decreases and the current employees grow older, retirement investments and tax-sheltered annuity plans might become more popular and appreciated than are day-care services for their families.

Value to the institution. In the case of health maintenance plans, the benefit to the school or college should be obvious: the employee is less likely to miss work because of illness. Vacations or retirement plans have

less direct, but still evident, benefits to the institution (in addition to their obvious value to the individual) in that a rested and refreshed instructor or staff worker should be more productive. Likewise, retirement plans mean the employee won't have to "moonlight" to earn money for retirement savings, and thus can devote more energy to educational matters.

Life insurance or health coverage for dependents has an even less visible value to the institution. Presumably, however, the financial security and peace of mind it offers to the employee allows him/her to concentrate more on professional responsibilities, and eliminates financial stress in the event of the illness of a spouse or child. And, as was mentioned at the outset, all fringe benefits play an important role as the institution competes in the employment marketplace for qualified staff and faculty members.

Administrative costs or difficulties. As alternative ways to offer benefits are examined, the administrator should consider the institution's role in handling the benefit program. For example, decisions must be made concerning (1) who enrolls those to be covered by health insurance, (2) who provides copies of the policy, (3) who prepares and distributes descriptions of coverages, (4) who completes claims forms, (5) who provides payment to doctors and hospitals, etc. The insurance company may provide lower rates if the institution handles these details, but if this requires the hiring of another clerk for the business office, the savings may disappear. On the other hand, so much time might be lost in dealing with employees' questions about their tax and retirement status that it would be worthwhile and convenient to train an in-house expert to maintain records and keep abreast of applicable laws and regulations. In some cases, it might be easier to simply cover everybody with an identical given policy at an average cost than it would be to provide different levels of benefits for employees of different ranks, seniority, or family situation. This would eliminate the need to keep records, monitor their status, and update or modify their policies with every promotion, change in marital status or number of dependents, employment anniversary, etc.

Cost to the institution. All other factors being equal, the administrator will want to secure benefit programs at the least possible cost. The usual principles of bidding, price comparison, and negotiation will help accomplish this end. In addition, the administrator should be careful not to buy more service than is required, or to select plans that can be unfairly exploited by false claims, or overused, or downright abused simply because they are available (using tuition waivers for recreational classes instead of professional advancement courses, for example, or buying gold fillings when amalgam ones would be sufficient). However, the administrator must keep in mind that value is just as important as cost, and should not be so stingy as to compromise the morale building aspect of the benefits program.

Individual choice ("equal value system" or shopping list) approach to benefits. There is a very recent trend in the provision of employee benefits whereby the employee may select, from a list, those benefits that are most valuable to him or her. In this approach, the employer agrees to provide each employee with the same dollar amount of benefits. The employee selects those

benefits that are most beneficial to him/her within the money allotted. Because the need for benefits varies so much from one employee to another, this approach appears to have considerable merit. It also seems to meet the guidelines for effective benefits programs discussed earlier.

The advantage of this approach to the educational institution is that the total cost of the benefits program is known and can be controlled by the institution. Because it is not committed to just one insurance program that covers everybody, the institution is not at the mercy of a single insurance carrier, which may determine that the cost of health insurance will be increased by a given percentage each year. Even though the institution may have to negotiate the amount of money to be provided to employees for benefits, the institution has far more control over costs than would otherwise be the case.

This approach also treats all employees equally. In most benefit plans, less money is spent on married women than on single women and married or single men. The married female employee's spouse, if employed, will likely also have insurance coverage; thus, she may have been discouraged from enrolling in the program because of the "coordination of benefits" (the two companies split the bill rather than each paying the full amount). Through the equal value system or shopping list approach, all staff would receive the equal amount of money in benefits.

Typical Fringe Benefits

Let us now examine, in turn, several of the most common types of fringe benefits, and the details of their provisions.

Health insurance. Effective teaching requires good mental, emotional, and physical health. Students and their families have a right to expect that faculty and staff members are in good health. Thus educational institutions have responsibility to provide healthful conditions and to help their employees maintain optimum health.

Many employees look at health and hospitalization insurance as one of their most important benefits. The practices of business and industry have generally set the pace for educational enterprises. In fact, just behind retirement benefits, health/hospitalization insurance was the first widely accepted fringe benefit provided to employees in educational institutions.

In a 1977-78 study of fringe benefits by the Educational Research Service (ERS), it was reported that all but 5.4 percent of the school districts surveyed provided some type of group health insurance. At that time, 64 percent of the surveyed districts provided full family coverage. An additional 5 percent provided a "cafeteria plan" whereby employees could choose the insurance coverage desired within a fixed dollar amount. Approximately 4 percent of the districts provided coverage for the employee only. In another 24 percent of the districts, the institution paid only for employees' coverage, but allowed

them, at their own expense, to purchase coverage for the other members of their family.

The coverage available through the hospitalization/health insurance usually includes costs of hospital room and board; payment for attending physician and support staff; and surgical costs, including charges for the operating room, the surgeon's fees, and other associated costs. Emergency room service might also be included in this coverage. The dollar limits of such coverage may be based on a schedule of fees included with the policy, or on what is known in the insurance business as "usual and customary" charges that are established on a regional basis by governmental or professional agencies. The latter generally allows for more flexibility and, thus, broader coverage.

Medical costs have dramatically increased in the past years. It is not unusual for full family hospital and health insurance premiums to have increased as much as four times in a six- to eight-year period. As a result of this rapid escalation of costs, the governing boards and administrators of many educational institutions are attempting to control further cost increases. Many health insurance companies require "coordination of benefits" in order to maintain the current insurance premium structure. In those instances in which two members of the same family have hospital/major medical insurance coverage, coordination of benefits prevents double payment for a given medical expense. The insurance carriers determine which policy provides the primary and which the secondary coverage. The primary carrier will then pay the regular coverage, while the secondary carrier takes care of any unpaid balance. Thus the individual is prevented from collecting more than the actual cost of medical treatment.

Other methods used to contain costs include establishing limits on the amount of premium the institution will pay. In these cases, the employee must assume the difference between the actual cost of the insurance and the amount paid by the district. Another idea, which may be more effective, is to institute a deductible provision whereby the employee pays a portion of the hospital/medical bill. The theory behind this idea is that if the employee and his/her family must pay a portion of the cost, they will use the coverage only when absolutely necessary. One school district in California recently introduced a $500 deductible provision in its hospitalization/health insurance plan. It then gave each of its employees $500. The employees could use the $500 to meet the deductible provision or to use as they might see fit. It has been reported that a significant reduction in claims has resulted. In turn, the premiums have been reduced to the point that the district saved money.

Major medical insurance. Major medical coverage, as the name implies, protects the employee from catastrophic medical costs. Major medical insurance is as important as the hospital/medical insurance. Major medical coverage is designed to provide coverage for the same types of medical expenses (surgeons and doctor's charges, prescriptions, X rays, hospitalization or outpatient costs, etc.), to the extent they exceed the coverage limitations of basic health and accident insurance.

Usually, coverage might require an annual deductible of $100 per person, up to a maximum of $200 per family. Major medical coverage also might involve a co-insurance provision. The co-insurance would then pay a percentage of all "out of pocket" expenses experienced during the year, after satisfying the deductible. Thus, for bills totaling $500 in one year, coverage with $100/$200 deductible and 90 percent co-insurance would reimburse the employee $360 for medical bills that do not require hospitalization ($500 - $100 = 400 x 90% = $360).

One disadvantage to major medical coverage is that the employee must pay the bill and then claim reimbursement, rather than have the insurance company pay the bill directly. The insurance carrier will not pay medical bills without an invoice from the physician or medical facility.

ERS found in 1978 that almost 92 percent of the school districts provided some form of major medical coverage. Over 64 percent of the districts provided full family coverage at no cost to the employee. Another 24 percent provided single coverage, with full family coverage available at the employee's expense.

Life insurance. Various forms of group life insurance are increasingly being provided to public school personnel. A survey conducted by the National Education Association in 1964 found that only about 25 percent of the school systems with an enrollment of 12,000 or more students paid part or all of the cost of group life insurance for teachers. In contrast, ERS found that by 1978, 82 percent of the school districts with enrollment above 10,000 students now provided life insurance in some form. In 58 percent of the school districts surveyed by ERS, the institution paid all of the premium costs.

The amount of coverage varies greatly among school districts. ERS found that 65 percent of the districts provided a fixed dollar coverage. In 1978, the average amount of that type of coverage was $9,038. However, in almost 20 percent of the districts, the amount of life insurance coverage was matched to the employees' salaries. In those districts, the average coverage was found to be $33,667 in 1977-78. A recommended baseline to start from is an amount equal to the employee's annual salary.

Group life insurance is a powerful morale builder and benefits employer and employee alike. It provides greater protection for dependents per dollar of expenditure than any other cost. The group aspect extends coverage to some individuals who might not otherwise be eligible for life insurance. It provides school employees with security they might not be able to attain in any other way.

Group life insurance is intended to provide individuals in the group with low-cost life insurance during the period of employment with the respective school district. Such coverage is not intended to meet the employee's complete life insurance needs. (Life insurance is a reasonably inexpensive benefit because the risk is spread over a large number of persons.)

It should be noted that group life insurance is term insurance. As such, it usually does not earn dividends or have cash value. With very few exceptions, it is impossible for the employee to borrow against the policy. Some policies provide conversion privileges; i.e., employees may convert to a standard insurance policy when terminating employment with the district. The premiums are usually considerably higher than those paid by the district because of the difference between group and individual rates and because of the difference between term insurance and whole life insurance.

Disability or income protection insurance. Of the fringe benefits noted thus far, disability or income protection is the least widely offered. ERS found that only 17 percent of the districts surveyed provided this coverage. This is due, in large part, to the excellent sick leave plans in existence in most states. In recent years, teachers and their unions have attempted to increase even further the number of days of sick leave provided.

Miscellaneous health plans. Separate pharmaceutical coverage is often talked about, but in most cases, the purchase of necessary drugs is usually reimbursable under the institution's major medical insurance coverage. Many of these separate policies actually provide the employee with a plastic "credit card" valid for drug purchases up to a stated limit. Of course, this method of providing prescription drugs is much more convenient for the employee than is one that requires the submission of an invoice for reimbursement of each purchase. However, the point remains that such benefits go beyond just protecting the employee from catastrophic medical expenses and providing the employee with peace of mind and security. Funds used to provide these excessive coverages could be better used to provide other more beneficial basic fringe benefits in other areas, additional salaries, or increases in nonpersonnel categories (e.g., to purchase instructional supplies and equipment).

Most dental plans provide coverage for periodic examinations, X rays, cleaning, and other routine treatment, at no cost to the employee. Many plans also provide coverage for extractions, basic restoration (e.g., fillings, root canals, repair of bridgework), major restoration (e.g., crowns, bridgework, dentures), and orthodontics (e.g., braces). The employee usually must pay an annual deductible fee for these coverages. In addition, the employee often pays a percentage of the cost of each of the services. In general, the more costly the dental work, the smaller the percentage of coverage provided by the dental insurance (see sample 9).

In many instances, an employee or a member of his/her family may require extensive and expensive dental work. In these instances, dental insurance can provide a sense of security to the employee and safeguards to his/her peace of mind. However, it is unlikely that the dental coverage will enhance the security or peace of mind of a majority of employees, because they are not faced with major dental bills. Moreover, since most dental conditions can be prevented, a plan that encourages continuous attention to dental health (by paying for all of routine care and prevention) will preclude more expensive restorative work.

SAMPLE 9

DENTAL CARE COVERAGE PLAN AT AN OHIO VOCATIONAL SCHOOL

After a deductible amount, the plan will pay a percentage of the Reasonable and Customary fees charged by a dentist. These two features provide for a sharing of cost by the dental plan and the insured person.

The deductible and coinsurance percentage that applies to each category of expense is illustrated as follows:

BASE PLAN BENEFITS

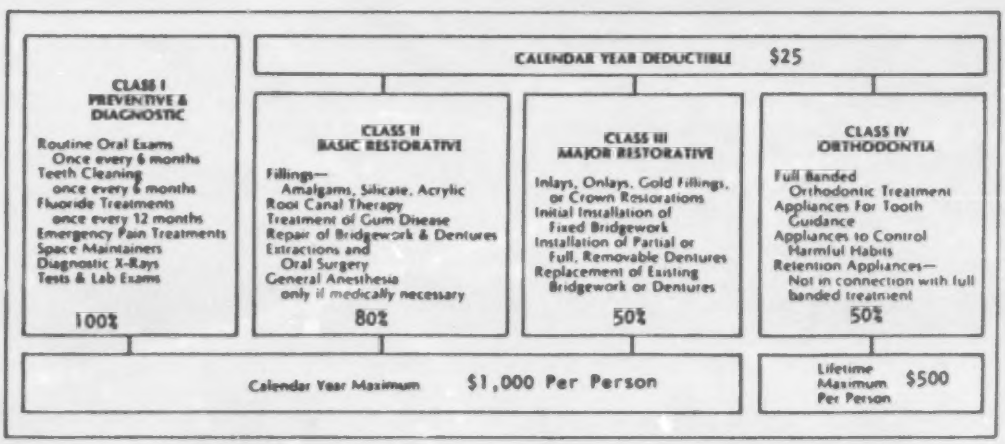
COVERED EXPENSE	INDIVIDUAL DEDUCTIBLE (Per Calendar Year)	FAMILY DEDUCTIBLE (Per Calendar Year)	COINSURANCE AMOUNT
CLASS I	None	None	100%
CLASS II	$25	$50	80%
CLASS III			50%
CLASS IV			50%

To encourage early detection of dental disease and to allow all participants a benefit from the plan each year, the deductible is waived and 100% of the Reasonable and Customary charges will be paid for all Class I Services.

CALENDAR YEAR MAXIMUM (For All Class I, II & III Expenses) $1,000 Per Person

ORTHODONTIC LIFETIME MAXIMUM (For All Class IV Expenses) $500 Per Person

SUMMARY OF COVERAGE



Worker's compensation. Worker's compensation insurance was instituted to protect the employee and his/her family against loss of income due to accidents and/or illness that occur in the workplace. Coverage includes payment of all medical, hospital, and rehabilitation bills associated with the accident or illness as well as loss of income, and payments for dismemberment and partial disability.

The Bureau of Worker's Compensation in each state provides information about the protection afforded employees under this act.

In some states, a worker's compensation fund is established through charges levied against each employer in the state. The charges are based on the employees' experience record, i.e., the total cost of claims charged to the fund by the employees of a specific employer. In other states, employees may purchase worker's compensation insurance directly from private insurance companies.

Procedures for evaluating the validity of each claim have been established. These procedures include a hearing before a disinterested third party. Both the employee and the employer have the right to appeal the decisions of the third party.

It should be noted that all medical and hospital costs of this type are charged to the worker's compensation fund or insurance. They cannot be charged to the employees' hospital or major medical coverage.

Unemployment insurance. Unemployment insurance was instituted to protect the employee and his/her family against the loss of income if the employee becomes unemployed due to no fault of his/her own. It has been only in the last few years that employees of public educational institutions have become eligible to receive unemployment compensation.

The rules governing the administration of unemployment compensation vary from state to state. Therefore, the administrators of each institution should become familiar with the requirements and provisions of the law in their state.

Professional liability/legal aid. The proliferation of law suits against teachers and administrators has given rise to the provision of liability insurance as a fringe benefit. Professional liability insurance and legal aid are relatively new fringe benefits. While few of the many suits filed against educators are awarded in favor of the plaintiffs, the cost of defense against such charges could be quite devastating to the average school employee. The employee time required away from school as a result of the suit can be costly to the institution. Thus, it is in the interests of both the individual and the institution to secure the means to handle litigation quickly and at low average cost. However, in some states, the governing boards of educational institutions may not be legally empowered to purchase liability insurance coverage for employees. In those cases, educators have to provide their own liability coverage.

When employees provide their own insurance, it is usually secured through a professional organization. Many unions and professional organizations include liability insurance as a part of their membership fee.

Legal aid is usually designed to provide legal assistance--including attorney fees to the employee for matters of a personal nature. Legal aid benefits, for example, could be used by the employee to sue someone who might owe the employee money, or to defend the employee against a suit brought against the employee for failure to pay his/her bills. It would not be used to defend the employee in a liability suit growing out of the employee's work.

An institution may also wish to provide legal advice to its faculty and staff in the areas of income taxes and estate planning. This is especially useful since so many of an educator's expenses (e.g., travel, association dues, offices in the home, professional development, books, relocation costs) fall into certain deductible categories.

In either case, the aid could be provided by the institution's paying for a legal aid service (with a fee negotiated on a basis similar to that used for group life or health insurance). Alternatively, the institution might retain an attorney, or hire one as part of the staff, whose services are available to all employees.

As in the case of liability insurance, the institution provides these services only insofar as they significantly boost staff morale and/or reduce the time lost from work while seeking legal/tax advice from other sources.

Tuition reimbursement. As late as the 1960s, school districts often employed some teachers who had not attained their baccalaureate degree or other requirements for certification. Very few classroom teachers had training beyond the bachelor level. Consequently, administrators and governing boards sought ways to encourage teachers to return to school to obtain further education. One strategy used was to pay part or all of the tuition costs incurred by teachers. Generally, reimbursement was made on the basis of successful completion of each course, with little or no restriction placed on the teachers concerning the appropriateness of the course.

Today, because more of these teachers have attained at least their certification requirements or a bachelor's degree, administrators and governing boards are beginning to restrict reimbursement to course work directly related to the teacher's teaching assignment. Tuition reimbursement might not be paid to a teacher for course work in administration and/or counseling, for example. Of course, many of these benefits are also provided to noninstructional staff members and to nonacademic employees as well. Restrictions are usually placed on the total number of hours for which an employee may be reimbursed, as well as on the amount the institution will reimburse the employee per course.

Pension systems. All states have some form of a public retirement program for teachers and other professional staff members. Likewise, noncertificated personnel are usually eligible for retirement benefits also.

Noncertificated employees are usually covered in a separate program from teachers and other professional staff members.

Several states use social security to supplement their retirement program.

Almost all retirement systems are funded through contributions by both the institution and the employees. In some states, it is now permissible for the school district to pay all or a part of the employee's contribution to the system. Benefits are usually calculated as a percentage or a fraction of the final average salary, multiplied by the total number of years of service.

Retirees usually have several options available to them. Those without dependents may choose to receive the maximum retirement allowance possible, while those with dependents may choose a reduced retirement allowance, thus making provisions for dependents who may survive the retiree.

Both the age of retirement and the minimum years of service have been decreasing. Whereas 70 years of age and 35 years of service were once fairly uniform retirement qualifications, the age requirement has been reduced to 65, 60, 55, and even 50 years of age. The minimum years of service needed to qualify for full retirement is down to 30 (in some cases, 25) years of service.

Administrators are frequently asked for information about retirement programs, qualifications for retirement, benefits available, and other requirements. Administrators should be cautious about giving specific advice to individuals. Since retirement systems usually employ a trained staff to counsel with the membership, questions should instead be referred to them. To facilitate this interchange, your institution should invite them to visit your institution periodically.

The systems also publish pamphlets and bulletins that describe the benefits, provision requirements, and procedures. In addition, private pension systems have become available, operating through banks (so-called Independent Retirement Accounts or "IRA") or through specific education-related associations, such as Teachers Insurance and Annuity Association (TIAA) and its associated mutual fund, the College Retirement Equities Firm (CREF).

Tax-sheltered annuities. As a means of helping employees to regularly invest funds in order to supplement their income during retirement years, most educational institutions have made available tax-sheltered or deferred annuities programs. The only costs to the institution are the accounting and bookkeeping costs. The institution does not contribute to the program.

Through this voluntary savings program, employees authorize the employer to withhold a regular amount from each pay. This sum is then forwarded by the institution to an annuity company (usually one of the employee's choice) for investment.

The advantage of the tax-sheltered or deferred annuity program over other savings and/or investment programs is that the employee does not pay federal income tax on that part of the income that is withheld. Payment of income tax is deferred until such time as the employee actually receives the money as an annuity (thus, the name tax-sheltered or tax-deferred annuity)--at a time when the employee is presumably retired and classified in a lower tax bracket. Thus, the tax-deferred annuity is especially attractive to the employees hardest hit by taxes--unmarried faculty or employees whose spouses also work but who do not have exemptions for dependents.

Some annuity companies charge a fee for investing the money for the employee; others charge a fee when funds are withdrawn. The first is called "front-end loading," the latter "back-end loading."

If possible, the selection of the annuity company should be left to the discretion of the individual employee. However, this may not be feasible in large educational institutions. The institution's fiscal office will probably be reluctant to write checks to 25 to 50 different annuity companies each month. Therefore, it may be advisable to have a committee of those employees interested in participating in the program do the selecting. The committee may wish to enlist the aid of a local banker or financial adviser to help with the evaluation and selection. In all probability the committee will wish to recommend three to five companies so that employees have some choice.

Leave and Absence Policies

Leave and absence plans, in one form or another, have become an accepted fringe benefit in almost every educational institution in the United States. Leaves and absences are often viewed as a means of maintaining a high level of quality and efficiency in instructional or administrative service. At times, it is justified, even imperative, for employees to be absent from regular duties or assignments. An established leave and absence plan assures staff members of security, health, and peace of mind; thus, it can contribute to the improvement of the teaching service.

The kinds of leave found in many educational institutions include (1) sick leave, (2) leave to attend to illness/death within the immediate family, (3) personal leave, (4) maternity/paternity leave, (5) sabbatical leave, (6) leave for military duty, and (7) jury duty leave. Other authorized absences include holidays and vacations. Some of these kinds of absences are related to the issue of severance pay, and they all affect the scheduling of work.

Sick and disability leaves. In a recent study by the Educational Research Service (ERS), 99.7 percent of the public school systems surveyed were found to provide sick leave for teachers. Almost 65 percent of the school districts grant from 10 to 12 days of sick leave per year. Over 63 percent of the surveyed districts reported that teachers could accumulate at least 175 days of sick leave, with 44 percent reporting that teachers could accumulate an unlimited number of sick leave days.

In many school districts, sick leave may be used to tend to a sick child, parent, spouse, or other relative who resides in the employee's household. Use of sick leave to attend the funeral of a nonresident family member is usually restricted just to the time of the funeral.

Today, proof of illness from a physician is generally no longer required. Proof of illness was eliminated because (1) faculty/staff members objected to the requirement of providing a statement from a physician, (2) seeing a doctor was often an unnecessary expense, and (3) proof of illness became a meaningless pro forma regulation.

The liberalization of sick leave provisions has created a number of problems for school administrators and governing boards. Some school employees regard the allotted number of sick leave days as giving them a right to be absent from work for that many days. Absenteeism has generally increased, and substitute teacher costs have correspondingly increased. The use of sick leave on nonpayday Fridays and the Mondays following payday has been found to be significantly higher than other days in many school districts.

Maternity/paternity leaves. The attitudes toward leaves of absence for pregnancy have undergone dramatic change during the past decade. Formerly, pregnancy was treated as a disability. Employers argued that female employees had a choice in the matter. Therefore, it was felt that the employee should not receive compensation for any absence associated with the pregnancy. Gradually, employers accepted the notion that sick leave could be used when the expectant mother was absent due to complications in the pregnancy.

Recent court decisions and state and federal legislation have resulted in a signficant expansion of the circumstances in which women may be compensated for absences associated with pregnancy. Pregnancy is now generally considered more similar to the situations involved with an illness, rather than a disability, thus qualifying the expectant mother for sick leave.

Court decisions have also held that employers, including school districts, cannot require a pregnant employee to take a leave or quit work at a specified time or date during the pregnancy, e.g., after the fifth month of pregnancy. Unless there is a demonstrable deterioration in her performance, the courts have generally held that the pregnant employee and her physician may determine when she should take a maternity leave to deliver. Likewise, some institutions also recognize the need for the father to be available around the time of delivery, and have allowed his use of the same type of leave.

Employers may require the pregnant employee to report the pregnancy and to indicate the approximate delivery date. They may also require a statement from the employee's physician that she is able to perform her regular work assignment without harm to either herself or to her unborn child.

Return to work after delivery has also been of concern to boards and administrators. Generally, the employee may reasonably be expected to return

to work within six weeks after delivery. However, complications might extend this period.

Emergency/personal leaves. Unions have made a strong push during the past ten years to obtain paid leaves for short periods of time for emergency or personal reasons. Approximately 96 percent of the school districts surveyed by the ERS reported that teachers were granted one or more days of paid leave per year for emergency/personal reasons. Almost two-thirds of the districts reported that such leaves were not charged to sick leave.

A growing trend has been that employees may use personal leave for reasons that the employee may determine, i.e., the board or administration does not have authority to deny a leave request. However, most educational institutions do at least require that, where possible, the administration receive advance notice of the intended absence. Restrictions may also be placed on these leaves so that they cannot be used to extend holiday breaks and vacation periods. Personal leave days are not usually accumulative from one year to the next.

Sabbatical leaves. Professional study (formal, independent, or both) is the primary purpose of sabbatical leaves. Such leaves may permit travel or work in a business or industry related to the teaching area in lieu of formal study. While some governing board members and administrators regard sabbatical leaves as an unwarranted and unnecessary luxury, others are more farsighted and view the leaves as a means of keeping the teaching staff up to date on current educational practices. The sabbatical thus serves as a means of renewal for individual staff members, enabling them to break away from their usual routine and familiar environment.

ERS has reported that, in the 1977-78 school year, 63 percent of the responding school districts provided sabbatical leaves. Sixty-five percent of those districts that provide sabbatical leaves pay the employee a percentage of his/her regular salary. Almost 10 percent of the districts paid the full salary, less the cost of the substitute teacher or other staff member required. Fourteen percent of the districts granting sabbaticals paid no salary.

In order to be eligible for a sabbatical leave, districts generally require that the employee, on the average, have worked in the district at least seven years.

Institutions granting sabbatical leaves also usually require that the recipient serve a specified period of service immediately following the sabbatical leave. Most often, employees are required to serve one to three years following the sabbatical.

In order to prevent excessive costs for sabbatical leaves in any one school year, many schools or colleges limit the number of staff members who can go on leave at any one time.

Miscellaneous leaves. Data concerning other kinds of leaves are presented in the following sample 10. This information was extracted from the 1978 study of fringe benefits conducted by ERS.

Holidays. In most states, the legislature has acted to designate certain dates as legal holidays for public employees. These days usually include, but are not limited, to the following:

New Year's Day
Memorial Day
Independence Day
Labor Day
Thanksgiving Day
Christmas Day or Chanukah

Veterans Day, the birthday of Presidents Washington and Lincoln, Columbus Day, state birthdays, and election day are also legal holidays in some states. Recently, efforts have been made to make the birthday of Martin Luther King a national holiday, and many state legislatures have already acted in this regard.

In addition to those holidays listed above, most school districts have made the day following Thanksgiving a holiday. Vacations or recesses are often scheduled before and after Christmas Day. Similarly, many school districts now schedule spring vacations. This vacation period often coincides with seasonal religious holidays (Passover or Good Friday and Easter).

Generally, public school systems provide employees with 9-11 holidays, exclusive of the Christmas and spring recesses.

From an educational standpoint, there is some evidence to suggest that holidays and short vacations during the school year benefit both teaching personnel and students. These breaks, properly spaced throughout the school year, help teachers avoid or overcome teacher burn-out by providing them with an opportunity to become refreshed and to overcome the tendency to follow routine patterns of operation. Student behavior, particularly at the high school level, seems to improve following the short vacation. Absenteeism also seems to be reduced.

Because public high schools are required to be in session for a minimum number of days (180-185 days usually), holidays and vacations falling during the school year do not reduce the total instructional time provided to students. Postsecondary institutions are concerned with the number of instructional days in a semester, trimester, quarter, or other term. Often they can schedule inter-term breaks so as to coincide with Christmas and spring vacations.

Employees who are required to work on holidays (usually nonacademic employees) are usually paid a premium for working on a legal holiday. That premium may vary from one and one-half to two times the employee's regular daily rate of pay. Alternatively, some employees are granted compensatory

SAMPLE 10

OTHER LEAVES FOR TEACHERS 1977-78

Type of Leave	Percent of School Districts Granting Leaves	Percent of Leaves Charged to:			
		Personal/ Emergency	Sick Leave	Without Pay	Otherwise Provided
Religious	59	69	6	9	16
Military	75	17	1	41	41*
Jury	85	27	1	6	66*
Professional	76	23	1	15	61

*In the cases of jury or military duty (usually Reserve/National Guard summer camps), the employee receives pay from that source also. It is recommended that the institution at least supplement the pay up to the average daily earnings. As a gesture to promote the acceptance of these important civic responsibilities, the board may wish to provide complete payment of salary, up to a prescribed maximum, provided the call to duty was not voluntary.

time off when they work on holidays. The compensatory time is usually calculated on the same basis as overtime pay; i.e., one and one-half days to two days off for each holiday worked. Usually, "comp time" must be taken within a specified time period after the overtime was worked.

Vacations. Vacations are for the mutual benefit of both employees and employers. The employee who returns to work after a period of rest and relaxation, who has had some free time with his/her family, or who has taken time to tend to personal affairs, is a more productive and valuable employee. A vacation is also one of the attractions that an employer may offer to its employees to remain on the payroll or to become employees in the first place.

While a vacation may be regarded as an earned or deferred compensation, it may also be considered an investment by the employer in promoting the longevity of service of its employees and in developing a more productive work force. However, it might be kept in mind that employees have no inherent right to vacations. Vacation privileges arise from the employer's practice and/or desire to provide for its employees.

In educational institutions, provision of vacations is usually limited to those employees who work a full calendar year, i.e., employed and working for 12 months or 52 weeks. Those who work less than the 12 months, are not considered to have the same needs for vacation as do 12-month employees.

Usually an employee earns a limited number of days of vacation after one year of employment (5 to 10 days). The number of days of vacation that may be earned usually increases with the number of years of continuous service (i.e., 15 days with 5 years of service, 20 days with 10 years of service) or with promotion.

Vacation days usually must be used within a specified period of time; seldom are employees permitted to accumulate them. To do so would be contrary to the rationale for granting vacations (i.e., employees need and benefit from time away from the job) and would tend to work a hardship on the employer when the employee is absent for excessively long periods of time. A developing trend is to permit employees to use vacation as it is earned rather than to require that the employee not take vacation until the year has been completed (except possibly for the first half or full year of employment).

From the employee's standpoint, the ability to take a vacation--and the prerogative to take it at a time that he/she personally selects--is a valuable right, but it is a "right" that must be limited by consideration of the employer's needs.

Severance pay. Of course, at the end of his/her employment, a staff member might still have some vacation time left that cannot feasibly be used. This is even more likely to occur with sick leave. Because of these and other situations, school employee unions have been seeking severance or terminal pay in addition to retirement benefits for more than ten years. Over the past five or six years, a trend has developed to grant such pay. The severance pay benefit is regarded as an aid to the employee in bridging the gap between full

service with full pay and retirement on a pension. It may also be regarded as a bonus for long and dedicated service, with a minimum of absence from duty.

Used to give the teacher an incentive to remain on the job with a minimum of absences, severance/terminal pay is usually based on the employee's unused, accumulated, sick leave and/or vacation time. In 1977-78, approximately 38 percent of the school districts in ERS's study reported a severance pay plan. Slightly over 50 percent of those districts with severance pay plans based the amount of severance pay due to the employee on the accumulated sick leave. Another 20 percent based the amount of pay on a combination of accumulated sick leave and years of service.

Scheduling work and absences. In business and industry, the scheduling of vacation has, within certain limits, been held to be a prerogative of management. The needs of the business and the maintenance of production are important considerations that the employee must recognize. Similarly, in educational institutions, the very nature of the school year dictates, to some extent, when vacations or other leaves will be taken. However, a recent trend appears to be developing wherein 12-month employees are taking vacations even during times when school is in session. The theory here is that the work load of 12-month employees is no greater during the time school is in session than it is during the summer months. Otherwise, the need for 12-month employment would be subject to question.

Nevertheless, certain times of the year are more crucial than others. For example, the two to three weeks before and after classes resume in the fall are usually hectic times. Many people, ranging from directors and counselors to custodians and secretaries, are essential for the smooth operation of the institution and cannot expect to take vacations at these times.

Another important consideration in scheduling vacations is whether or not a substitute will be required for the vacationing employee. A substitute might be required for a school custodian if he/she were to take a vacation during the time school is actually in session. If the custodian were to take a vacation during the time school is not in session, a substitute might not be required.

On the other side of the issue, sometimes employees must work when everyone else is enjoying a holiday or other time off. For them, compensatory time off is often granted in lieu of overtime. This enables the institution to meet peak demands for needed services while maintaining relatively stable payroll costs. However, compensatory time off must be granted within a very few days after the overtime was worked. The disadvantage of compensatory time off is that the organization must operate shorthanded when the employee is absent.

In summary, the scheduling of vacations particularly, and compensatory time off to a lesser degree, requires that the institution's administration plan ahead so that there will be adequate human resources available to carry out the work of the institution.

You may wish to arrange through your resource person to visit and interview someone who is experienced in choosing fringe benefit plans (including leave and absence policies) for educational institutions. This could be a consultant in this field or an educational administrator who has been familiar with the benefit and leave programs in a variety of institutions over a period of time.

During your discussions, you might want to seek the answers to questions such as the following:

- What are the most common/popular fringe benefits being provided for faculty and staff?
- Does this state have any laws that limit the selection of insurance, retirement, or annuity programs?
- How can administrators obtain a high value of benefits in the face of inflating costs, and still meet the demands of their employees?
- Approximately how many administrators and clerical staff are required to manage the various aspects of benefits programs (including those who monitor vacations and other absences)? Is a computer used?
- Are any types of leaves or insurance programs being abused to any great extent? How might this be controlled?
- What percentage of your total compensation costs consist of benefits rather than salary?

You may wish to examine some brochures or other forms of information about the benefits provided for employees in educational institutions in your area or state. You could arrange (perhaps through your resource person) to review such documents from each of three to five institutions. As you look through them, you could ask questions such as the following:

- What benefits seem to be generally provided (that is, by all those institutions whose brochures you are examining)?
- What unique benefits plans are provided?
- Are there differences in the means by which institutions administer these benefits (for example, how do employees enroll, file claims, or secure coverage for their dependents)?

The following "Case Studies" describe how an administrator made several decisions about benefits and leave provisions at a vocational education institution. Read the general situation for background information. Then read each of the case studies and critique in writing the performance of the administrator described, using the questions at the end of each case study to guide you.

CASE STUDIES

General Situation:

Mr. Pat Bricker is the vice-president for administration at High Hopes Technical College (HHTC). The college faculty has not yet unionized, but Mr. Bricker nevertheless feels compelled to give the faculty, as well as the administrative and support staff, the best possible package of benefits that next year's budget will allow. First, he will be looking at the current, overall set of benefits; then, he will be developing recommendations about specific aspects of the benefits provided.

Case Study 1:

In analyzing the current set of benefits and the ways in which they are provided, Mr. Bricker considered these criteria: value of the benefits to the employee, cost of the benefits to the institution, institutional ability to administer the benefits, degree to which local facilities are used, and employee preferences or use. Of these five factors, he gave the last one the greatest weight.

Did Mr. Bricker use the correct five analytical factors? If not, what ones are missing? Which factor do you think should be given the greatest weight?

Case Study 2:

The staff at HHTC consists of 30 "single" persons (those without spouse or children) and 70 who have dependents. Last year, the average health insurance claim was $200 per single staff person and $500 per family. The choices for the coming year's insurance are these:

Plan "A"
$100 deductible per single employee, $200 deductible per family, 90 percent co-insurance; premium cost to institution = $24,000

Plan "B"
$50 deductible per single employee, $150 deductible per family, 80 percent co-insurance; premium cost to institution = $26,000

Choosing on the bases of both cost to the institution and the value to the employee, Mr. Bricker selected Plan "A."

On the bases of cost and value, is Mr. Bricker correct on both counts, one of them, or neither? Show your calculations.

Case Study 3:

Mr. Bricker has long wondered why HHTC allows employees to participate in a tax-deferred annuity plan. As he sees it, the only difference between an annuity and their state-required teacher/public employees retirement system is that the annuity allows payment of retirement benefits before age 60 or 25 years of service. Therefore, he proposes to eliminate the annuity option for the coming year.

Is this a wise decision on Mr. Bricker's part? If not, for what reasons should the annuity program be retained?

Case Study 4:

The HHTC tuition reimbursement plan enables all employees to take only one course per quarter, up to a cost of $150 per quarter, provided the course relates exactly to the employee's current assignment. In an effort to broaden the appeal of this benefit, Mr. Bricker will recommend that the number of courses, fee maximum, and course subject requirements be removed.

Should these limitations have been eliminated? What are the advantages of these limitations? Are there any other ways in which the tuition program could have been liberalized?

Case Study 5:

Mr. Bricker is conducting an orientation interview with Ms. Eve Jones, a new teacher. In response to her question about what "personal leave" entails, he has cited the following examples: to attend the funeral of a member of the immediate family, to serve on a jury, to interview for another job, and to take a day off even though her accumulated vacation time has been all used up.

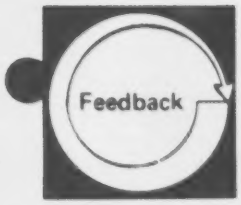
Do all these answers seem valid? Can you come up with any others or with a general rule to follow?

Case Study 6:

As he reviews the limits on accumulation of sick leave and vacation time, Mr. Bricker is pondering why these limits have been established. He recognizes that it is to both the institution's and the individual's benefit to stay home when he/she is ill, both to hasten recovery and to prevent the spread of a possibly contagious ailment. Likewise, taking a break from work periodically gives the employee a fresh perspective and increases his/her productivity. If an employee cannot hoard sick leave or vacation time, then these practices will probably be encouraged.

As an extension of this thinking, Mr. Bricker has concluded that there is no reason to allow a departing employee to receive any cash in lieu of unused sick leave or vacation time, and thus will recommend those options be terminated, regardless of the reason the employee is leaving.

What is the validity of his reasoning about limitations on accumulation of sick/vacation leave days? Are there any good reasons or means to give a departing employee cash for unused days off?



Compare your completed written critiques with the "Model Critiques" given below. Your responses need not exactly duplicate the model responses; however, you should have covered the same major points.

MODEL CRITIQUES

1. Mr. Bricker used four correct factors, but "utilization of local facilities" is not one of them; he overlooked the one about value to the institution.

   Not employee preference, but cost to the institution, in the final analysis, would probably be the dominant criterion in determining which benefit plan to provide. After all, if the institution cannot afford the program, it does not matter how valuable it is to the institution, or how valuable and preferred it is by the employees, or how easy it is to administer. However, "cost" should be defined rather broadly, since the loss of disgruntled employees, excessive absenteeism, time spent in resolving grievances, or reduced productivity will eventually cost the school or college in more tangible terms.

2. Plan A is indeed better in terms of institutional cost; however, Plan B is better in terms of value to the employees because it requires them to pay less money as part of their share of the expenses:

   "A" 30 single employees each pay $100 (the deductible portion) plus 10 percent (the insurance pays 90 percent) of the $100 remaining from the average bill of $200; 30 x $110 = $3,300.

   70 employees with families each pay $200 (the deductible part) plus 10 percent of $300 remainirg from an average bill of $500; 70 x $230 = $16,100

   Total, Plan A = $19,400

   "B" 30 single employees each pay $50 (the deductible portion) plus 20 percent (the insurance pays 80 percent) of the $150 remaining from the average bill of $200; 30 x 80 = $2,400.

   70 employees with families each pay $150 (the deductible part) plus 20 percent of $350 remainirg from an average bill of $500; 70 x ($150 + $70) = 70 x $220 = $15,400.

   Total, Plan B = $17,800

   (Note: If the administration or board instead selected Plan "A" because its premium is $2,000 less ($26,000-$24,000), they could afford to spend that $2,000 on some other benefit--even an outright grant or bonus of up

to $20 to each of 100 employees--and perhaps achieve greater net employee satisfaction.)

3. A state pension plan is designed strictly for retirement, requiring an established number of years of service, or age, or both, as eligibility for payments. Both the educational institution and the teacher or other employee are required to pay certain percentages of the base salary into the fund. The employee's entire base salary, including his/her pension fund "contribution," is subject to federal income taxes.

   A tax-deferred annuity consists of a regular, but voluntary, payment by the employee only (up to a maximum established by state law and board policy). The money is invested by a firm in stocks, bonds, and other securities, and the proceeds are accumulated in the employee's account. At any time he/she requests it, the account may be paid back to the employee/investor (usually, but not necessarily, in monthly or annual increments upon retirement). Only at that time are the proceeds taxed; the amount of the input into the fund was deducted from taxable income during the employee's working years.

   Since many of the employees probably want to limit their current tax liability, and also add flexibility to their retirement plans, the institution should allow them to continue to participate. There's not much cost or bother to the institution, provided there are only three or four annuity companies that they have to deal with (for employee deductions).

4. There are, perhaps, some good reasons to limit the number of courses for which reimbursement is allowed, or the dollar amount of reimbursement. These reasons include (1) to reduce the total cost of this program, (2) to prevent overuse or abuse, or (3) to preclude heavy use at the beginning of the fiscal year, which could deplete all the budgeted funds before others can use the benefits later in the year.

   Instead of simply requiring that the courses for which aid is given should be work-related, the policy could be made more flexible by requiring that courses be part of a staff development plan, jointly developed by the employee and a supervisor or staff development coordinator. In which case, even avocational or general education classes might very well be shown to have value. The technologies that are the subject of most vocational courses are rapidly changing, and the teacher must be able to keep abreast of those developments.

   Furthermore, it is beneficial for both the instructional and administrative staff to be exposed to new ideas about the learning process and the national educational, economic, and social environments. Therefore, financial aid for enrollment in these courses will enhance staff productivity, morale, and civic involvement.

   Mr. Bricker could also consider adding tuition waivers for members of employees' families. Tuition waivers serve as an inducement for them to attend HHTC, increasing its enrollment (and perhaps revenue from state

subsidy), strengthening family unity and understanding of the employee's role, and promoting good public relations.

For these family tuition waivers, limits might be imposed concerning total number of dependents using the waiver per term, or regarding total number of terms per dependent or family, or for waiving only a portion of the tuition. Alternatively, employees might be asked, at budget time, to forecast the amount of tuition waiver they will seek.

5. Personal leave is applied in those cases when (1) absence under other categories is not appropriate, (2) the individual might be embarrassed to mention the reason for requesting absence, or (3) all authorized vacation or sick leave has been expended. Thus, Mr. Bricker's first two examples were wrong, since they are usually provided for specifically by jury leave and sick (or death/bereavement) leave policies. Other typical, legitimate reasons for using personal days might include remaining at home to assist a repairer with the washing machine, picking up a friend at the airport, working on an outside consulting assignment (if law permits), or recovering from the faculty recognition banquet.

6. Mr. Bricker has reasoned correctly about why to limit the accumulation of sick leave and vacation time. However, he should recognize that it is valuable to allow limited amounts of unused sick leave or vacation time to be converted to cash, payable upon retirement or resignation as a bonus for faithful attendance. More compassionately, this type of unused leave could be used as a partial basis for severance pay granted to ease the transition of an employee who is retiring or must be dismissed, especially if due to the termination of a program or to financial exigency.

Level of Performance: Your completed written critiques should have covered the same major points as the "Model Critiques." If you missed some points or have questions about any additional points you made, review the material in the information sheet, "Choosing and Administering Fringe Benefits and Leave and Absence Policies," pp. 57-75, or check with your resource person if necessary.

NOTES

Learning Experience IV

FINAL EXPERIENCE

While working in an actual administrative situation, manage school personnel affairs.*

As part of your administrative responsibility, manage school personnel affairs for a vocational education institution or program. This will include--

- preparing or revising personnel policy procedures
- keeping staff informed of personnel policies and procedures through a handbook, meetings, memoranda, bulletin board postings, and/or newsletters
- establishing or revising and operating a grievance resolution procedure
- selecting and administering staff benefit programs, including leave and absence policies

NOTE: As you complete each of the above activities, document your actions (in writing, on tape, through a log), for assessment purposes.

continued

*If you are not currently working in an actual administrative situation, this learning experience may be deferred, with the approval of your resource person, until you have access to an actual administrative situation.

FINAL EXPERIENCE continued

Arrange to have your resource person review the documentation of your activities and any products developed under your leadership. If possible, arrange to have your resource person observe at least one instance in which your are working with others in managing school personnel affairs (e.g., talking with staff members about the benefits package for the next employment year).

Your total competency will be assessed by your resource person, using the "Administrator Performance Assessment Form," pp. 87-88.

Based upon the criteria specified in this assessment instrument, your resource person will determine whether you are competent in managing school personnel affairs.

Name _____

Date _____

ADMINISTRATOR PERFORMANCE ASSESSMENT FORM

Manage School Personnel Affairs

Directions: Indicate the level of the administrator's accomplishment by placing an X in the appropriate box under the LEVEL OF PERFORMANCE heading. If, because of special circumstances, a performance component was not applicable, or impossible to execute, place an X in the N/A box.

	LEVEL OF PERFORMANCE					
	N/A	None	Poor	Fair	Good	Excellent
While establishing a foundation for personnel operations, the administrator:						
1. prepared or modified general personnel policies.....	☐	☐	☐	☐	☐	☐
2. involved staff members in the review or drafting of policies and procedures.....	☐	☐	☐	☐	☐	☐
3. secured board approval of personnel policies...	☐	☐	☐	☐	☐	☐
4. published personnel policies and procedures in a suitable handbook, manual, or other form..	☐	☐	☐	☐	☐	☐
5. developed and operated a personnel records, filing, and reporting system.....	☐	☐	☐	☐	☐	☐
6. emphasized and supplemented the notification of personnel policies/procedures through use of a periodic staff information newsletter, bulletins, memoranda, staff meetings, etc.....	☐	☐	☐	☐	☐	☐
While establishing and operating a staff grievance procedure, the administrator:						
7. involved members of the staff, faculty/staff unions, or other professional collective bargaining organizations.....	☐	☐	☐	☐	☐	☐

	LEVEL OF PERFORMANCE					
	N/A	None	Poor	Fair	Good	Excellent
8. secured legal review and/or regulatory agency opinions of procedures while in their draft form.....	☐	☐	☐	☐	☐	☐
9. provided a series of grievance steps with specific time limits, but using informal procedures as much as possible.....	☐	☐	☐	☐	☐	☐
10. conducted a grievance hearing in accordance with written procedures.....	☐	☐	☐	☐	☐	☐
11. selected impartial arbitrators.....	☐	☐	☐	☐	☐	☐
12. allowed legal representatives when required....	☐	☐	☐	☐	☐	☐
While administering a staff benefits program, the administrator:						
13. periodically evaluated benefits in terms of cost, value, use, acceptance by employees, and ease of administration.....	☐	☐	☐	☐	☐	☐
14. involved both professional consultants and members of the staff in periodic selections of benefit levels and types.....	☐	☐	☐	☐	☐	☐
15. provided clerical assistance for the benefits program.....	☐	☐	☐	☐	☐	☐
16. publicized information about benefits prorams, including coverage and applicability, enrollment, claims procedures, etc.....	☐	☐	☐	☐	☐	☐
17. arranged for legal advice on behalf of staff when needed.....	☐	☐	☐	☐	☐	☐
18. developed and administered policies on leaves and other absences and kept needed records.....	☐	☐	☐	☐	☐	☐

Level of Performance: All items must receive N/A, GOOD, or EXCELLENT responses. If any item receives a NONE, POOR, or FAIR response, the administrator and resource person should meet to determine what additional activities the administrator needs to complete in order to reach competency in the weak area(s).

Additional Recommended References

Bouchard, Ronald A. *Personnel Practices for Small Colleges.* Edited by Lanora F. Welzenback. Washington, DC: National Association of College and University Business Officers, 1980.

Brodie, Donald W., and Williams, Peg. *School Arbitration: What the Arbitrators are Doing.* Eugene, OR: University of Oregon, Center for Educational Policy and Management, 1980. ED 197 488

Elkouri, Frank, and Elkouri, Edna Asper. *How Arbitration Works.* Third Edition. Washington, DC: Bureau of National Affairs, 1973.

U.S. Department of Labor. *State Workmen's Compensation Laws.* Bulletin 161. Washington, DC: Wage and Labor Standards Administration, 1969.

U.S. Department of Labor. *Medical Care Under Workmen's Compensation.* Bulletin 244. Washington, DC: Bureau of Labor Standards, 1962.

REVIEW PERIODICALS SUCH AS THE FOLLOWING:

College and University Personnel Association Journal. (College and University Personnel Association, Suite 120, Eleven DuPont Circle, Washington, DC 20036). Published quarterly.

Competency-Based Administrator Education Materials

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- LT-A-2 Develop Local Plans for Vocational Education: Part II
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Supportive Materials

- Guide to Vocational-Technical Education Program Alternatives: Secondary and Postsecondary—An Introduction
- Guide to Using Competency-Based Vocational Education Administrator Materials
- Resource Person's Guide to Implementing Competency-Based Administrator Education Concepts and Materials
- An Introduction to Competency-Based Administrator Education (slide/audiotape)

For information regarding availability and prices of these materials contact—AAVIM, American Association for Vocational Instructional Materials, 120 Driftmier Engineering Center, University of Georgia, Athens, Georgia 30602, (404) 542-2586.

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